|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| |  | | --- | | **RDCL (09/2020)** | | | | |
| |  | | --- | | Research Degrees Viva Voce Examinations | | | | |
| Guidance and Checklist for Independent Chairs  This form should be completed in full by the Independent Chair and forwarded to the NTU Doctoral School immediately after the examination, in compliance with the University’s Research Degree Regulations (NTU Quality Handbook Section 11).  Remote vivas will be conducted with the following participants:   * Doctoral Candidate; * Independent Chair; * Internal Examiner; * External Examiner; * (NTU Doctoral School Standards and Quality Manager).   **All remote vivas should normally be conducted using MS Teams.**  All NTU staff and doctoral candidates will have access to MS Teams through their NTU account. If the external examiner does not have access through their institution, they can still join through the web version (via Google Chrome or Microsoft Edge) within the invitation sent by the organiser.  The Independent Chair should conduct the meeting and send the calendar invite to all participants with an MS teams link. This is so that the Independent Chair will have the ability to control participants in the viva (which will be an MS Teams meeting).  Initial set up of the examining teams will be done by the NTU Doctoral School in accordance with NTU QH Section 11 (Examining teams sections).  In order to ensure the smooth running of the viva the following good practice should be observed:   * a pre-meeting with all parties to take place at the start of the day to talk through the process and check everything works; * both audio and visual capabilities should be switched on and functioning throughout the viva; * the viva cannot be recorded; * the candidate must provide a panoramic view of the room layout; * time must be allowed for any technical hitches to be resolved at the start of the viva; * there are to be a total number of three extended dropouts of the MS Teams connection before it may be suggested that the viva is halted; * the candidate must provide a visual of the additional material brought to the viva (e.g. hard copy of the thesis); * if necessary, the examiners can type the questions into the chat function on MS Teams; * At any point the examining team are able to request that the viva is stopped; * If at any point the candidate feels they are being disadvantaged due to technical issues they are able to request that the viva is stopped and request a postponement to another date that would be in person.   **TO BE COMPLETED BY THE NTU DOCTORAL SCHOOL** | | | |
| **PART A: THE CANDIDATE** | | | |
| **1**. Candidate ID: | |  | |
| **2**. Name in full: | |  | |
| **PART B: APPROVED SUPERVISORY TEAM**   |  |  | | --- | --- | | 3. Name | Designation | |  | Director of Studies  Co-supervisor | | | | |
| **PART C: EXAMINING TEAM** | | | |
| |  | | --- | | **4**. **Name** | | a) Internal Examiner(s) | | b) External Examiner(s) | | | | |
| **5**. Date of Viva Voce: |  | | |
|  | | | |
| **TO BE COMPLETED BY THE INDEPENDENT CHAIR**  **PART D: INDEPENDENT CHAIR CHECKLIST**  **(*Please type Y to indicate each stage has been completed)***  **6. BEFORE THE EXAMINATION** | | | |
| Ensure that the examiners have submitted their Preliminary Report forms (RD8PR). | | | [\_\_] | |
| Ensure that if any supervisors or advisors are present as observers the candidate has provided written permission and the names of the observers are recorded. | | | [\_\_] | |
| Introduce the Examiners, supervisor, candidate and yourself. | | | [\_\_] | |
| Ensure that the candidate have provided a panoramic view of the room layout | | | [\_\_] | |
| Ensure that the candidate has seen a copy of the Research Degrees Regulations and that they have read the relevant sections. | | | [\_\_] | |
| Explain that the Examiners have been appointed in accordance with the regulations and procedures contained within the Research Degrees Regulations and that the Examiners have been given a copy in order to ensure that all parties have had the same information on rules, regulations and procedure. | | | [\_\_] | |
| Explain that the role of the Chair is to ensure that the assessment processes are operated rigorously, fairly, reliably and consistently. Explain that the Chair has a neutral role in the assessment process and takes no part in the actual assessment of the research. He/she should not be called upon for specialist discipline knowledge, but for knowledge of regulations, procedures, policy and practice. | | | [\_\_] | |
| **7. THE EXAMINATION** | | | |
| The Chair can interject:   * To provide advice on regulations, procedures, policy and practice. * Where there is any activity that is not 'rigorous, fair, reliable or consistent'. * Where there is any activity, which contravenes the equal opportunities policy. | | |  | |
| When the Examiners have finished their discussion with the candidate, ensure that there are no more queries and ask the candidate whether he/she has anything more he/she would like to add or ask. | | | [\_\_] | |
| Draw the proceedings together and outline the next steps (normally the candidate should leave the meeting room and will be invited back to hear the recommendation). | | | [\_\_] | |
| **8. RECOMMENDATIONS** | | | |
| Where the Examiners have a discussion about the recommendation, interject as before to:   * Provide advice on regulations, procedures, policy and practice. * Where there is any activity which is not 'rigorous, fair, reliable or consistent'. * Where there is any activity which contravenes the equal opportunities policy. | | |  | |
| In exceptional cases where the recommendation is not given at the viva, explain to the candidate why this is the case and what will happen to inform him/her of the recommendation. | | | [\_\_] | |
| **9. REPORTS AND FORMAL COMMUNICATION OF RECOMMENDATIONS** | | | |
| Ensure that the Examiners complete the RD10G and send it to the Independent Chair who will forward all the completed documentation (RDCL and RD10G) to the NTU Doctoral School | | | [\_\_] | |
| Ensure that you have completed all sections of this checklist and return it to the NTU Doctoral School. | | | [\_\_] | |
|  | | | |
| **PART E: CONCLUSION** | | | |
| ***Delete the conclusion*** *which does not apply:*  10.1 The candidate has satisfied the examiners as a candidate for the degree of Doctor of Philosophy\*.  10.2 The candidate has **not** satisfied the examiners as a candidate for the degree of Doctor of Philosophy\* in the following respects: | | | |
| **PART F: RECOMMENDATIONS** | | | |
| ***Delete the recommendations*** *which do not apply:*  11.1 that the candidate be granted the award of PhD\*  11.2 that the candidate be granted the degree of PhD\* subject to minor amendments and corrections being made to the thesis to the satisfaction of the internal examiner(s) **and/or** external examiner(s)\*  11.3† that the candidate be granted the degree of PhD\* subject to substantive amendments being made to the thesis to the satisfaction of the internal examiners(s) **and/or** external examiner(s)\*  11.4† that the candidate be permitted to re-submit for the degree of PhD\* and be re-examined as follows:  i) \*the thesis must be revised and if deemed satisfactory by the examiners, the candidate will be exempt from further examination, oral or otherwise;  ii) \*the thesis must be revised and the candidate must undergo a further oral or alternative examination;  iii) \*the thesis is satisfactory, but the candidate must undergo a further oral or alternative examination;  iv) \*the thesis is satisfactory, but must undergo a further examination, which shall take the form of:  ...............................................................  (to be specified by the examiners and subject to the approval of the School Research Degrees Committee)  11.5 that the candidate not be granted the degree of PhD\* and not be permitted to be re-examined (if Paragraph 11.2 above does not explain why this recommendation is made, a short report signed and dated by the examiners must be appended to this form.  11.6 In the case of a candidate being examined for PhD, that the candidate be granted the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners.  Where the recommendation is 11.2-11.4 and 11.6, the examiners must together complete form RD10G, which should be returned to the NTU Doctoral School immediately after examination for forward transmission to the candidate. | | | |

**PART G: INDEPENDENT CHAIR’S COMMENTS**

Please make any comments on the examination process or note any incidents of good or poor practice here:

Chair's Name: .............................................

Electronic signature.............................................

Date ................

**Please return this form to the NTU Doctoral School (**[**doctoralschool@ntu.ac.uk**](mailto:doctoralschool@ntu.ac.uk)**)**