**Annex 1 - Amendments Required to Regulation XXVI**

**Regulation XXVI**

**4. Research Students - Registration**

**4.1** Every registration shall be made on the recommendation of the Dean of School or their nominee.

A student will be registered from the outset for the qualification they are aiming for which will be either MPhil, PhD or EngD ~~of Master of Philosophy in the first instance, except that a student may be permitted to register for the degree of Doctor of Philosophy if he/she already holds a postgraduate degree of a university in the United Kingdom, or the Republic of Ireland or the former C.N.A.A. or such other degree awarding body it recognizes as equivalent for the purpose~~. The Dean of School or their nominee shall appoint a Supervisor or Supervisors with due reference to expertise and staff workload. They shall also appoint a Director of Research Degree Programme for each student, who will act as an initial arbiter in the event of academic problems experienced by the student and maintain an overview of the quality of the student’s research degree programme.

**4.2** Candidates' registrations shall take effect from four dates annually

Namely: 1 October, 1 January, 1 April and 1 July. Candidates shall normally be registered from the nearest date to their arrival in the University. Only in exceptional circumstances may a Research Student's registration be backdated by a maximum of four months.

**4.3** A Research Student shall attend such lectures and seminars as may be required by the University in the exercise of its responsibilities under the Health and Safety at Work Act 1974.
The student shall undertake such research training as may be prescribed by the School under which he/she is registered and to attend such lectures, seminars and to take such examinations as his/her Supervisor may require.

**4.4** **Location of Research**

**4.4.1** Research shall normally be carried out in the University, but an Associate Dean (Research) may, at his/her discretion, approve arrangements for a programme of research principally located other than in the University provided that he/she is satisfied:

* that proper arrangements have been made for supervision
* that the proposed subject of the research is appropriate to and in the interests of the University
* that it is necessary for the research to be carried out in the locations which are specified in the proposed arrangements rather than in the University.

**4.4.2** All candidates shall be required to attend the University for such periods and on such occasions as the appropriate School shall specify.

**4.4.3** A candidate who is undertaking the major part of his/her research outside the University but who is receiving the major part of his/her supervision from the Academic Staff of the University may be registered as a full-time student.

**4.5 Full-Time Research Students**

**4.5.1** Full-time students aiming to submit for the degree of MPhil shall normally be registered for a minimum period of 2 years. Full-time students aiming to submit for the degree of PhD shall normally be registered for 3 years.

The first year of registration on a full time research degree programme shall be considered a probationary year. Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 10,000 words on the research to date. A student’s registration shall be reviewed annually. The degree for which they are registered will be confirmed as part of the progress review process at the end of Year 1. In the event that a student who has been registered for the award of either MPhil or PhD is making unsatisfactory progress , then their registration may be extended for a further probationary period of up to 3 months or registration may be transferred to MPhil from PhD or terminated. Where a student’s registration is extended for a further probationary period they shall be required to produce a further written report and undertake a further progress review prior to their registration for either PhD or MPhil being confirmed. ~~A~~ ~~student's registration for the degree of Master of Philosophy may be transferred to a registration for the degree of Doctor of Philosophy at, or any time after, a student's first 12 months but not less than six months before submission of a thesis for PhD, subject to the student having satisfactorily completed such research training as may be prescribed by the School under which he/she is registered.~~ Students shall receive a written report on their progress from their Supervisor on an annual basis.

**4.5.2 Part-Time Research Students**

Part-time students aiming to submit for the degree of MPhil shall normally be registered for a minimum period of 3 years.

 Part-time students aiming to submit for the degree of PhD shall normally be registered for 5 years.

The first two years of registration on a part time research degree programme shall be considered a probationary period. The degree for which they are registered will be confirmed as part of the progress review process at the end of Year 2. In the event that a student who has been registered for the award of either MPhil or PhD is making unsatisfactory progress , then their registration may be extended for a further probationary period of up to 3 months or registration may be transferred to MPhil from PhD or it may be terminated. Where a student’s registration is extended for a further probationary period they shall be required to produce a further written report and undertake a further progress review prior to their registration for either PhD or MPhil being confirmed.

 Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 5,000 words on the research to date and a report of the order of 10,000 words before 24 months.

Students shall receive a written report on their progress from their Supervisor on an annual basis.

**4.6** The Dean of the School may recommend that registration of a research student be terminated on the grounds of unsatisfactory progress

Such students have the right of appeal in accordance with paragraph 15.10 of these Regulations.

**4.7** Students will be required to re-register annually not later than one month after the date of expiry of their previous year of registration and re-registration will be subject to a satisfactory annual review.
Students who fail to re-register within one month without good reason will be charged a late registration fee.

**15. Appeals Procedure for Failed Submissions**

**15.1** A Research Student (including a candidate submitting under either Paragraph 6 or 7 of these Regulations) for whom the Examiners' decision is `fail' may lodge a written appeal with supporting evidence, with the Academic Registrar or nominee within fourteen working days of being informed of the result of the examination. The grounds for such an appeal shall be set out in writing and shall be confined to one or more of the following:

(i) that there existed at the time of the examination circumstances affecting the student's performance of which the examiners had not been made aware when their decision was taken;

(ii) that there were procedural irregularities in the conduct of the examination of such a nature as to cause reasonable doubt as to whether the examiners would have reached the same conclusion had they not occurred;

(iii) that there is evidence of prejudice or of bias against the candidate or of inadequate assessment on the part of one or more of the examiners.

**15.2** A student who wishes to lodge an appeal in accordance with paragraph 15.1i of Regulation XXV1, on the basis of retrospective medical grounds, will be required to produce written medical evidence.

**15.3** Given the existence of procedures for complaint and redress during the study period (which should normally be dealt with through the Director of Research Degree Programme as and when they arise), alleged inadequacy of supervisory or other arrangements during the period of study should not constitute grounds for an appeal unless there are exceptional reasons for it not having come to light until after the examination, in which case it may be considered under paragraph 15.1i.

**15.4** The Vice-Chancellor or failing him/her a Pro-Vice-Chancellor shall nominate an Appeal Committee to consider such appeals which shall be constituted as follows:

* Dean of the Graduate School or a Pro-Vice-Chancellor or an Associate Dean (Research) (Chair)
The Chair of the Appeal Panel shall be from a School other than the one in which the student is registered.
* 2 members of the academic staff who shall be an Associate Dean (Research) from a School other than the appellant’s own and one member of Senate.

**15.5** No member of the University shall be appointed to membership of the Appeal Committee who has been involved in the examination or had any supervisory relationship with the student, nor is a member of the School in which the student is registered. No School may have more than one of its members on the appeal body.

**15.6** An appellant shall have the right to appear in person before the Appeal Committee and may be accompanied by a person of his/her own choosing.

**15.7** The Appeal Committee shall determine its own procedure within the framework set out in the Code of Practice on Appeals and may take such advice as it considers appropriate.

**15.8** In the event of an appeal against a fail outcome the Appeal Committee shall have power either to reject the appeal, in which case the examiners' decision shall be final, or to determine which of the following courses of action shall be taken:

(i) in cases where the appeal is based on either of the grounds stated in 15.1(i) or 15.1(ii) above the Appeal Committee shall be empowered

a)   to direct the Examiners to re-consider their decision for the reasons stated and     to report their decision to the Appeal Committee which shall then determine the appeal in    the light of such re-consideration; and/or

b)   to give the student permission to revise the thesis and re-submit for re-examination by the Examiners within a time limit specified by the Appeal Committee; and/or

c)    to annul the examination and direct that a fresh examination be conducted.

(ii) in cases where the appeal is based on the grounds stated in 15.1(iii) above, the Appeal Committee shall be empowered to direct that the thesis shall be re-examined.

**15.9** Where re-examination under 15.8(i)(c) or 15.8(ii) is determined, the Dean of the   Graduate School shall appoint new examiners, in number no fewer than the original examiners and containing at least two external examiners. The new examiners shall be given no information about the previous examination except that they are conducting a re-examination on appeal. They shall be required to submit independent reports on the thesis before conducting the oral examination and a joint report after the oral examination.

**Appeals Procedure for Termination of Registration or Amendment of Registration from EngD or PhD to MPhil**

**15.10** An Appeal Committee shall be nominated in accordance with the arrangements in paragraphs 15.4 and 15.5.  A student wishing to exercise his/her right of appeal under paragraph 4.6 of these Regulations must lodge his/her appeal in writing (within fourteen working days of receiving notice in writing of the decision by his/her  Dean of School against which he/she is intending to appeal) with the Academic Registrar or his/her nominee. Any appeal shall be heard by the Appeal Committee as soon as is convenient and in any case normally not later than 40 days after the lodging of the appeal. The Appeal Committee shall determine its own method of proceeding within the framework set out in the Code of Practice for Appeals.

**15.11** The Appeal Committee shall have the power either to reject the appeal, in which case the decision shall be final, or to uphold the appeal according to any conditions which it may consider necessary to impose.

15.12 The grounds for appeal shall be confined to one or more of the following

i that there were serious circumstances affecting the student of which the Dean of the School or Progress review panel were not aware when a decision was made

ii that there were procedural irregularities in the conduct of the progress review panel

iii that there is evidence of prejudice or bias or inadequate assessment on the part of members of the review panel

Challenges to the academic judgement of supervisors or staff involved in conducting progress reviews will not be accepted as grounds for appeal.

**18.** **Regulations for the PhD Programme in Hydrogen, Fuel Cells and their Applications**

**18.1**. Candidates registering for the research degree programme in Hydrogen, Fuel Cells and Their Applications shall normally possess at least an upper second class honours degree

**18.2**. Candidates shall be required to pursue an approved full time programme of postgraduate taught modules and research extending over a maximum period of four years. The taught element of the programme will not lead to the award of a separate taught qualification except when a candidate withdraws or is required to withdraw from the programme prior to the successful completion of the research element of the programme and has obtained sufficient modular credit to enable a taught qualification to be awarded.

**18.3.** Eligible candidates shall submit for the PhD within a minimum of 3 years and 6 months and a maximum of 4 years and 6 months of initial registration.

**18.4.** Candidates shall be registered at the outset for the degree of ~~MPhil.~~ PhD

Registration shall be with effect from 1 October, I December, I April or 1 July.

**18.14.** Lack of satisfactory progress in either the curriculum based element of the programme or the research project will mean that the candidate will not be permitted to continue to pursue the programme of study. At the end of year 2 the Progress Board shall consider the progress of candidates on the basis of their performance in the taught element and research element of the programme and the candidates shall either:

**~~18.14.1~~** ~~transfer from MPhil to PhD and~~ be permitted to continue with the  programme;

OR

**18.14.2** be required to withdraw from the research degree programme;

OR

**18.14.3** be required to withdraw from the research degree programme  but be awarded a postgraduate Diploma or Certificate;

OR

**18.14.4** be permitted to write up for the degree of MPhil

### 19. Regulations for the Research Degree Programme in Regenerative Medicine

**19.1** The provisions of Regulation XXVI shall apply for all candidates registered at Loughborough University except as provided for in the following paragraphs.

**19.2** Candidates registering for the research degree programme in Regenerative Medicine must possess at least an upper second class honours degree, or an equivalent qualification and professional experience.

**19.3** Initial registration shall be for the degree of PhD ~~MPhil.~~ Registration shall normally be with effect from 1 October.

**19.9** The annual progression of candidates and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the candidate and a viva examination. At the end of year two of the programme the written research report shall be of the order of 10,000 words. A candidate’s registration may be transferred ~~upgraded~~ from PhD ~~MPhil~~ to MPhil ~~PhD~~ following an unsatisfactory ~~successful~~ progress review at the end of the second year of registration.

# Annex 2 Code of Practice on Research Degree Programmes

This Code of Practice has been prepared by the Research Committee in order to assist research students, Supervisors and Examiners. It applies to all higher degrees by research, and should be read in conjunction with Regulations XXVI. The references in brackets throughout are to the appropriate paragraph in Regulation XXVI.

This Code of Practice also has accompanying Appendices.

### Registration

(Regulation XXVI Paragraph 4 & Paragraph 5)

**1.** The normal period of study for the degree of Doctor of Philosophy is three years full-time or five years part-time. The normal period of study for the Degree of Master of Philosophy is two years full- time and three years part-time. The normal period of study for an EngD or New Route PhD is four years full time. Students are expected to complete their research and write up their theses within these time scales unless they are granted an extension to their studies for completion of their thesis. Such extensions will be for no more than 12 months for full-time  students and 24 months for part-time students or 6 months for students on four year research degree programmes.

**2.** In exceptional cases, recommendations from Schools for longer or shorter periods of study will be considered where there is clear academic justification. Such recommendations are subject to approval by the Dean of the Graduate School.

**3.** Students will be registered for either an MPhil, PhD or EngD at the outset of their programme. Registration for an MPhil or PhD will be on a probationary basis ~~aiming for the degree of PhD will normally be registered for an MPhil~~ in the first instance~~. However, students holding an appropriate postgraduate degree which has provided research training may be registered initially for a PhD on the recommendation of their School when an offer of admission is made by the University.~~ Unsatisfactory progress in the programme may lead to their registration being transferred to a lesser research degree award, to termination of studies or to an extension of the probationary period.

**4.** Students will normally be informed of their expected Supervisor(s) when a formal offer of admission is made. However, it is recognised that circumstances may result in changes to the Supervisor(s) being made prior to, or during, the period of study.

**5.** Students  must re-register annually, subject to satisfactory progress review . Students are expected to re-register by the anniversary of their initial registration date. Students re- registering late will be charged a late registration fee at a level set by Council. If a student does not re-register within one month of the anniversary of their initial registration, their registration at the University will normally be deemed to have lapsed.

### Progress Monitoring

(Reg XXVI paragraph 4.5)

Regular progress monitoring  must be undertaken as part of the supervisory process through regular supervisory contact and the review of written work.

#### Initial Review

**9.** Before a full-time student will be permitted to re-register for their second year of research, he/she will be required to submit  evidence of their research progress to date and be assessed. This evidence will normally be a report of the order of 10,000 words or their equivalent on the research carried out, but it may also include research publications. The report should contain a plan and timetable for completion and separate details of any research or transferable skills training. Assessment of the report will include a progress review meeting. The progress review meeting will be conducted by at least one independent reviewer who is not the student's Supervisor . If there is more than one independent reviewer one will act as chair in the meeting and be responsible for producing the progress report and recommendation. The  Director of Research Degree Programme should arrange the meeting and the Supervisor may attend as an Observer with the student’s agreement.

**10.** Before the end of their first 12 months of study, all part-time students will be required to submit a report of 5,000 words on the research to date and will be subject to a progress review  before progressing to year 2. By 24 months registration they should submit evidence of their research progress to date  which  will normally be a  report of the order of 10,000 words but may also include research publications. The decision to amend ~~upgrade~~ registration from PhD ~~MPhil~~ to MPhil ~~PhD~~ may be taken at the earliest at this point. The report must include a timetable and a plan for the completion of the research. Separate details of any research or transferable skills training should accompany the report. The report will be assessed at a progress review meeting.
The progress review meeting should provide an opportunity to evaluate academic progress, research training and plans for future study. It should also provide an opportunity for student feedback.

#### Criteria for Assessment

**11.** In order to ~~upgrade a registration from MPhil to~~ confirm registration for PhD and complete the probationary period the research reports should show evidence of a viable research programme including a plan for completion, a grasp of appropriate research methods , potential for publication, an element of originality and evidence of adequate progress including successful achievement of research targets.

**Outcomes**

**12.**Subject to the agreement of the independent reviewer the report and progress review meeting will normally form the basis of a recommendation to the Associate Dean (Research) of the School as to whether the student should be permitted to continue their registration and probation be completed, whether that registration should be for an MPhil or PhD or whether the student should be permitted to rewrite and resubmit their research report within a specified period of no more than 3 months. In the event of an objection to the outcome from the Supervisor, a further review should be undertaken by a third party.
Students should be informed of the outcome of the review without delay

**Appeals - Progression**

 (Reg XXVI paragraphs 4.6 & 15.11)

**13.1** The Dean of the School may recommend at any time that a student's registration be terminated on the grounds of unsatisfactory progress. The Dean of the School must inform the student and Research Student Office of the reasons for the termination of registration. For a student who has not yet completed 12 months registration unsatisfactory progress will normally relate to unauthorised absence or failure to meet agreed research targets. In these circumstances the Dean of the School in which the student is registered should submit a written recommendation to the Research Student Office. Subject to the agreement of a Dean from another School, that there is a prima facie case for termination of studies, the Research Student Office will notify the candidate of the reasons for the termination. A student whose studies are terminated has the right of appeal under paragraph 15.11 of Regulation XXVI.

13.2 In the event that the outcome of the progress review is that a student’s registration be amended from PhD or EngD to MPhil the student may lodge an appeal under paragraph 15.11 of Regulation XXVI.

#### Further Progress Reviews

**14.** After successful submission of the 10,000 word report full-time students should produce a written report together with any appropriate supporting output within an appropriate timescale to enable re-registration before the end of year 2. The report should include a detailed plan of the research to be undertaken in year 3 and include details of any research or transferable skills training. A further written report should be produced before the end of year 3 which may be a draft of their thesis. Part-time students should produce reports annually for the remaining years of the registration. Assessment of these reports will include a progress review meeting. The progress review meeting will be conducted by at least one independent reviewer who is not the student's Supervisor and who ideally is the same person who conducted the first year review.  If there is more than one independent reviewer one will act as chair in the meeting and be responsible for producing the progress report and recommendation. The  Director of Research Degree Programme should arrange the meeting and the Supervisor may attend as an Observer with the student’s agreement.
Subject to the agreement of the independent reviewer the report and progress review meeting will normally form the basis of a recommendation to the Associate Dean (Research) of the School as to whether the student should be permitted to continue their registration and whether for MPhil, PhD or EngD as appropriate or whether the student should be permitted to rewrite and resubmit their research report within a specified period of no more than 3 months. In the event of an objection to the outcome from the Supervisor, a further review should be undertaken by a third party.
Students should be informed of the outcome of the review without delay.

**15.** All students will receive a written report from their Supervisor(s) concerning their progress each year after their progress review. This should normally be at least 300 words in length. It should include discussion of the viability of the research programme, the need for further research training to be undertaken, the students grasp of research methodology and the basis of the decision taken to continue or amend ~~upgrade~~ registration where appropriate. It is the responsibility of the School to ensure that students receive these reports on a timely basis. Schools are advised to keep records of the issue of these reports and their receipt by students.

**16**. Schools must complete and annual report on a research student's progress which is available online. Students will not be re-registered prior to receipt of the report by the Research Student Office. This will apply to students whose initial registration was on or after 1 July 2007.