

Code of Practice on Research Degree Programmes

Version effective from 1st October 2021

This Code of Practice has been prepared by the Research Committee in order to assist doctoral researchers, supervisors, directors of doctoral programmes and examiners. It applies to all higher degrees by research and should be read in conjunction with [Regulation XXVI](#). The references in brackets throughout are to the appropriate paragraph in Regulation XXVI.

The Code must be complied with unless the Doctoral College Office has agreed that an exception may be made. The Office provides advice and guidance on the interpretation of the Regulation and the Code to support a high quality and consistent experience for doctoral researchers.

1 ADMISSIONS

([Regulation XXVI paragraph 2](#))

Doctoral researchers will be admitted in accordance with the [University's Admissions policy](#) which requires applicants to be interviewed before a research degree offer is made.

Shortlisted applicants selected for interview should normally be interviewed in person by two members of academic staff. Where it is not possible for an applicant to be interviewed in person, a skype or telephone interview is an acceptable alternative. Interviewers should satisfy themselves that applicants have appropriate personal qualities to be successful in research study as well as relevant subject knowledge.

Doctoral researchers will 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 although these should be kept to a minimum.

2 STAFF ROLES

This Policy sits alongside and should be read in conjunction with the [Terms and Conditions of Study](#) which form the contract between applicants, doctoral researchers and the University.

2.1 Primary Supervisor

The primary supervisor will be responsible for managing the doctoral researcher's overall research programme. They will:

- Ensure the doctoral researcher has access to appropriate facilities and advice to pursue their programme, agreeing with the secondary supervisor and the doctoral researcher how the programme will be conducted including how the responsibilities of doctoral researchers and supervisors listed below will be discharged.
- Ensure the doctoral researcher understands the progression requirements and the format and standard of work which is required of them during each Part of the programme including the provisions of Regulation XXVI and this Code.
- Take the lead in advising the doctoral researcher on their transferable skills training requirements.
- Be responsible for signing off any requests from the doctoral researcher for periods of study away from the campus (full-time doctoral researchers), holidays, leave of absence, parental leave etc. and ensuring the impact of any such arrangements on the research programme are clarified and documented if required.
- Take the lead in the academic supervision of the doctoral researcher, unless the secondary supervisor has particularly relevant subject knowledge but is still developing their experience of supervision, ensuring that monthly meeting reports are recorded in Co-Tutor.

2.2 Secondary Supervisor

The secondary supervisor will normally provide additional academic expertise for the research degree programme and an alternative point of contact where the primary supervisor might be temporarily unavailable. Ideally, they should be willing to step in as primary supervisor should the original primary supervisor cease to be available for some reason, but it is recognised that this will not always be possible or appropriate. The relative academic input within the supervisory team may vary as the programme of study develops. Where the primary and secondary supervisor are not in the same School the doctoral researcher will be registered in the School of the primary supervisor.

2.3 Criteria for Appointment of Supervisors

Supervisors will be appointed on the basis that their research expertise and experience is appropriate to the research to be undertaken.

Supervisors will only be appointed when there is reasonable expectation that they will be available to supervise the doctoral researcher for the normal duration of their degree.

Supervisors will normally be full-time members of the academic staff of the University or of equivalent standing and the Primary Supervisor must normally meet this criterion. The Director of Doctoral Programmes may appoint other suitably experienced and qualified staff including research staff and staff on part-time contracts but such individuals must be of doctoral standing and sufficiently available to provide satisfactory support to the doctoral researcher.

Where a member of staff is retiring or retired they may, with the agreement of the Dean of the School or nominee, continue with the supervision of their current doctoral researchers if appropriate arrangements can be made.

Where a research supervisor leaves the University, there should be a discussion with the doctoral researcher, supervisor(s) and Director of Doctoral Programmes as to the options available to the doctoral researcher which may include re-locating with the

supervisor; appointing a replacement supervisor for the current programme or amending the research programme and the supervisory team; appointing a supervisor from another University or appointing the previous supervisor as an External supervisor. There should, however, always be two supervisors from Loughborough University. Joint supervision should be available to the doctoral researcher throughout their programme. Wherever possible the arrangements should be made with the full involvement and agreement of the doctoral researcher, however, it is recognised that it will not always be feasible to provide the revised supervisory arrangement preferred by the doctoral researcher.

2.4 Role of the Supervisors

Research Supervisors have the following responsibilities, which will normally be provided by the supervisory team jointly although as noted above it is the primary Supervisor's responsibility to manage the delivery of the programme including these responsibilities:



[Download the Doctoral Researcher Induction Checklist](http://bit.ly/lboro-dc-inductionchecklist)
<http://bit.ly/lboro-dc-inductionchecklist>



[Download the Supervisory Partnership Expectations form](http://bit.ly/lboro-dc-expectationsform)
<http://bit.ly/lboro-dc-expectationsform>

- At the commencement of the research, to agree with the doctoral researcher how the research programme will be conducted including expectations of attendance and delivery of work, the relative roles of the supervisors, a written timetable for the conduct of the research and the completion of written work. This timetable should be reviewed and amended as the research progresses. Any adjustments which are appropriate due to a disability or long term health issue should be discussed, implemented and kept under review in consultation with Student Wellbeing and Inclusivity
- The supervisors should provide an induction into the School's expectations of the research and complete a written record of this induction to be made available at the 6-month review meeting.
- To ascertain if the doctoral researcher has any particular research or transferable skills training needs or if there are particular training programmes that the doctoral researcher is required to attend. The bulk of research training takes place within the research process, through discussion between doctoral researcher and Supervisors, and through referral to appropriate reading. However, Supervisors should determine at the outset if doctoral researchers have any additional requirements, and keep these under review throughout. Supervisors should promote engagement with the transferable skills training offered by the Doctoral College. The normal expectation is that the doctoral researcher will undertake 10 days per annum professional development training and a summary of the training undertaken is required as part of the progress review process.
- To establish and maintain regular contact with the doctoral researcher by whatever means is most suitable given the doctoral researcher's location and mode of study, including any period during which the doctoral researcher is working away from the University. Permission to work away from the University is subject to approval by the primary supervisor and must be recorded in writing in Co-Tutor. The minimum number of formal contacts between full-time doctoral researchers and research degree Supervisor(s) will normally be 12 per annum and these should normally be

face to face meetings. Part-time doctoral researchers, and doctoral researchers working away from the University, should have formal contact with their Supervisors at a frequency equivalent to the above related to their mode of study; however, this contact may be maintained in part via video conferencing or email where necessary.

- The 12 formal supervisory contact meetings and their outcomes must be recorded in Co-Tutor for the purpose of monitoring doctoral researcher attendance and performance and to ensure records are accessible should the supervisors not be available. It is the primary supervisor's responsibility to ensure that these essential written records are maintained but both supervisors are encouraged to maintain reports of supervisory activities in Co-Tutor.
- To provide satisfactory guidance, support and feedback to the doctoral researcher on the progress of their research.
- To give advice and instruction on research methods appropriate to the doctoral researcher's field of study.
- To encourage the doctoral researcher to keep themselves informed of all relevant developments within their subject.
- To report, usually jointly, on the doctoral researcher's progress to the Progression Board. With a clear recommendation as to progression in accordance with Paragraph 6.4 of Regulation XXVI.
- To monitor the progress of the doctoral researcher within the guidelines of Regulations and University and School practice.
- To ensure that the doctoral researcher is aware of the need to conduct their research according to ethical principles, to provide advice on this matter and ensure the doctoral researcher is aware of and engages with relevant School and University procedures.
- To encourage and support doctoral researchers to publish and present their work where appropriate, and disseminate the research.
- To make it clear to doctoral researchers that they are expected to participate in the planning of work to be done, encourage them to question advice that is given to them and to reach independent decisions on what work needs to be done. In the last resort, a Supervisor should defer to a doctoral researcher's decision wherever possible.
- To agree arrangements for regular contact with their doctoral researchers if their tuition fee paying registration ends before the award of their degree and they have therefore entered a period of extension to complete their thesis. The aim is to support the doctoral researcher to successful completion in good time. Where a doctoral researcher is sponsored by the University as a student visa holder, the doctoral researcher should be working on their thesis full-time during any extension period, and meetings must continue to take place and be recorded on the same basis as during tuition fee paying registration.
- To provide advice on the preparation of the doctoral researcher's thesis and to encourage them to write up and submit the thesis with necessary documentation before leaving the University.
- To identify and recommend the appointment of the doctoral researcher's research degree Examiners.
- To maintain contact with a doctoral researcher in the event of referral of their thesis or where corrections are required should they feel the need for advice and

assistance. As noted above, student visa holders should be working on the revisions to their thesis full-time and meetings must continue to take place and be recorded on the same basis as during tuition fee paying registration.

2.5 Director of Doctoral Programmes

The Dean of School shall nominate as Director of Doctoral Programmes, and where necessary Deputy Directors of Doctoral Programmes, whose role shall be:

2.5.1 Recruitment and overseeing the admissions process.

- Working proactively with the Dean, the ADR and others to support the recruitment of new doctoral researchers across all disciplines and sub-disciplines in the School/Dept so as to build a thriving doctoral researcher community;
- Receiving and reviewing applications for research degrees, and, in consultation with colleagues, confirming decisions on those applications;
- Assisting in the dissemination of information concerning relevant doctoral researcher funding opportunities;
- Ensuring that School doctoral researcher publicity materials, including relevant web pages, are up to date;
- Raising the profile of doctoral researcher related matters across the School and encouraging colleagues to seek funding to support future doctoral researchers.

2.5.2 Overseeing doctoral researcher induction and training.

- Ensuring that all new doctoral researchers are properly inducted and integrated into the research community of the School/Department either through a formal School induction event at the start of the academic year, or for those doctoral researchers who join later in the year, through individual induction programmes at an appropriate time;
- Identifying, in conjunction with supervisors, the learning needs of new doctoral researchers and helping them to decide on appropriate training courses; encouraging doctoral researchers to review their own changing learning needs during the course of their programme, and to participate in appropriate training sessions;
- In conjunction with taught Programme Directors, to co-ordinate issues relating to Postgraduate Teaching Assistants, including their additional skills training and progress in relation to teaching duties. (Note this may not apply in all Schools.)

2.5.3 Progress monitoring.

- Ensuring that all doctoral researchers are receiving appropriate supervision, that supervisors are employing best practice and to monitor supervisory loads;
- To liaise with the Dean to ensure appropriate supervision arrangements are made whenever a supervisor leaves;
- To be the point of contact for doctoral researchers where there are difficulties with supervision and to escalate these to the Dean or ADR in the first instance where necessary;
- Overseeing progress reviews for all doctoral researchers, including appointment of Independent Reviewers, and ensuring that there is a robust progress monitoring and review system through a Progression Board;

- Dealing with any issues (academic or personal) in conjunction with the Dean, ADR, or Supervisors arising from Progress Meetings that cannot be satisfactorily be dealt with by the progress reviewers, taking advice from professional services as necessary, and ensuring that appropriate records of progress meetings are kept;
- Overseeing annual reports from doctoral researchers and their supervisors on progress;
- In conjunction with supervisors to encourage and/or arrange opportunities for doctoral researchers to make presentations of their research internally, and to seek publication opportunities, conference presentation opportunities, or practical work exhibition/production opportunities as appropriate;
- In conjunction with supervisors to ensure that doctoral researchers working away from Loughborough are kept in touch with the School and its research culture;
- To support doctoral researcher support staff in the School in ensuring attendance monitoring records are kept up to date and that the School doctoral researcher handbook is up to date;
- To report to the ADR on issues relating to the management and oversight of research degree programmes;
- To represent doctoral programmes at meetings of Progression Boards or School Committees;
- To participate in Academic Misconduct or Student appeal hearings if required;
- To contribute to the School periodic review processes.

2.5.4 Other

- Providing an initial point of contact where a doctoral researcher has a complaint and to resolve that complaint wherever possible informally as part of the University's complaints procedure;
- Providing guidance on the University Regulations or seeking further advice where appropriate;
- With the ADR maintaining an overview of the allocation and distribution of studentships and dealing with issues arising in connection with studentships in conjunction with the Doctoral College Office;
- Preparing and delivering reports on doctoral researcher issues to relevant School and Doctoral College meetings;
- Attending relevant School and University committee meetings concerned with doctoral researcher issues and raising any specific issues that require attention.

2.5.5 Role of the Independent Reviewer

An Independent Reviewer should be identified at the earliest opportunity by a doctoral researcher's supervisors and nominated to the Director of Doctoral Programmes for approval.

The Independent Reviewer should have sufficient expertise in the field of the doctoral researcher's research programme to be able to make an informed judgement on their progress.

The Independent Reviewer shall review output produced by the doctoral researcher in accordance with the paragraphs 5 and 6 of Regulation XXVI. They will produce reports

for consideration by the Progression Board which include a recommendation on the doctoral researcher's progression in accordance with paragraph 6.4 of Regulation XXVI.

The same member of staff should normally act as the Independent Reviewer throughout the research degree programme if appropriate.

The Independent Reviewer may not normally act as the internal Examiner for the thesis submission unless there are exceptional circumstances, and permission has been given by the Doctoral College Office.

2.6 The Role of the Dean of School

The Dean of the School will appoint a Director of Doctoral Programmes for the School and one or more Deputies depending on the size of the School.

The allocation of supervisors and School facilities to doctoral researchers will be undertaken on an operational basis by the Director of Doctoral Programmes and where necessary Associate Dean (Research). Supervisors will typically be responsible for the allocation of specific research facilities. However, the Dean remains accountable overall for the adequate provision of resources and support to doctoral researchers registered in the School.

3 ROLE OF THE DOCTORAL RESEARCHER

The responsibilities of a doctoral researcher include:

- making satisfactory progress in the research project and any programme of work agreed with the Supervisor(s);
- submitting written work in an agreed time before meetings with the Supervisor(s);
- being in regular attendance at the University which for full time doctoral researchers will require attendance at monthly meetings as a minimum;
- making a record of supervisory meetings as required by the Supervisor(s);
- raising any problems with the Supervisor(s) and providing adequate explanation of any failure to attend meetings or to meet other commitments, so that appropriate guidance may be offered;
- preparing the 6 month and the annual progress reports on the research project;
- communicating research findings both orally and in writing, to others in the academic community;
- drawing to the attention of the Supervisor(s) any circumstances that might require the mode of study to be modified or institutional registration to be extended, suspended or withdrawn;
- making appropriate and economical use of teaching and learning facilities made available by the institution;
- undertaking research training including transferable skills training and maintaining a record of that training;
- submitting for a research degree within the timescales provided for in the Regulations;

- maintaining contact with their Supervisor(s) while pursuing their research up to and including submission;
- submitting a thesis to their Supervisor(s) for comment prior to being submitted.

The doctoral researcher must be aware that the research to be pursued must be their own work and they should determine the research programme after an initial period of instruction and assistance from their Supervisors.

A doctoral researcher need not confine their requests for advice to their Supervisors but may approach any member of the academic staff who can help.

In exceptional cases a doctoral researcher may ask their Director of Doctoral Programmes for one or more of their Supervisors to be changed if the research is progressing along lines outside their Supervisors' area of expertise or for any other reason that the doctoral researcher may consider makes a change desirable.

If the initial request to the Director of Doctoral Programmes for a change of Supervisor is agreed, this will then be subject to approval from the Dean of the School will appoint a new Supervisor. If a solution cannot be found an approach should then be made to the Associate Pro Vice-Chancellor of the Doctoral College, whose decision shall be final.

Subject to completing a minimum period of registration it is for the doctoral researcher to determine when their thesis is ready for submission. It is anticipated that submissions will be made with the support of the Supervisors. Where support is not given the matter will be referred to the Associate Pro Vice-Chancellor of the Doctoral College on the notification of the Doctoral College Office.

Notification of intention to submit a thesis must be given at least three months prior to the expected date of submission using the appropriate online process.

A doctoral researcher must ensure that they are familiar with University Regulations and relevant paragraphs of this Code of Practice. Doctoral researchers may ask School staff for advice on how to apply these documents in the context of their studies. Final responsibility for the interpretation of University Regulations and this Code of Practice lies with the Doctoral College Office which acts on behalf of the Academic Registrar.

Doctoral Researchers should also familiarise themselves with the standard [terms and conditions of study](#).

4 REGISTRATION AND TUITION FEES

([Regulation XXVI paragraphs 3,4](#))

The structure and duration of research degree programmes is set out in paragraph 3 of Regulation 26.

Doctoral researchers shall normally register on the annual registration date in their offer letter but where this is not practical must register within a 14-day period either side of this date. They will initially be registered on Part R1 of their programme or Part R0 where this exists as part of a specialist four-year programme or the EngD.

Doctoral researchers must re-register annually, by the anniversary of their initial registration date. Doctoral researchers will be permitted to re-register whilst they are revising a progress report to fulfil the requirements of their Doctoral Researcher Progression Board in accordance with paragraph 6.4 of Regulation XXVI. The annual registration date may be adjusted in light of any approved period of leave of absence which has extended the period of study.

Doctoral researcher re-registering late will be charged a late registration fee at a level set by Council. If a doctoral researcher does not re-register within one month of the anniversary of their initial registration, and an adequate explanation has not been provided to the Doctoral College Office, they will be considered to have abandoned their studies and their registration at the University will normally be terminated.

Tuition fees will be charged annually for the doctoral researcher's period of study and are payable on registration and re-registration. Doctoral researchers will receive a written notice of the need to re-register annually from the Doctoral College Office and any outstanding debt will be drawn to their attention. Re-registration will not be permitted if tuition fee debts are outstanding and registration may be terminated. Further details will be found in paragraphs 16-22 of Regulation XVI.

Where a doctoral researcher is required to undertake further work for a period of 3 months (or 6 months for part-time students) to enable them to complete the requirements to progress, they will be permitted to re-register and tuition fees will initially be charged for the whole subsequent year. In the event that the doctoral researcher is not permitted to progress and studies are terminated, tuition fees will be refunded in relation to the remaining period of registration on a pro rata basis.

5 PROGRESS MONITORING

(See also, [Regulation XXVI: Paragraph 3, 5.2](#))

Progress monitoring should be a continuous process conducted through regular supervisory contact and the review of written work. Where a doctoral researcher's performance or attendance gives cause for concern between the scheduled reviews then the provisions of Regulation IX may be invoked in accordance with paragraph 5.1 of Regulation 26.

5.1 Initial 6 Month Review

Full and part time students shall have an initial progress review after 6 months registration. The purpose of the review is to ensure engagement with the programme and that a research plan is in place and underway. The requirements for the 6-month review are contained in paragraph 5.2 of Regulation 26

5.2 Subsequent Progress Reviews

The formal framework and criteria for subsequent progress reviews are set out in paragraph 5.2 of Regulation XXVI. After the initial 6-month review, all doctoral researchers will have a progress review on an annual basis prior to the anniversary of their registration date. For full-time doctoral researchers, this review will always be an end of Part review. Part-time doctoral researchers will have mid-Part reviews as well as end of Part reviews to ensure progress remains on track and that any concerns are picked up in a timely way in the interests of both doctoral researchers and supervisors.

Progress Reviews will include submission of written work and other materials as appropriate to the research programme and will include a progress review meeting. The progress review meeting will be conducted by at least one Independent Reviewer who is not one of the doctoral researcher's Supervisors. 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 Doctoral Programmes should ensure meetings are arranged in a timely manner. The Supervisors may attend as Observers with the doctoral researcher's agreement.

The decision to amend registration from PhD to MPhil may be taken at the earliest after two unsatisfactory end of R1 progress reviews for a full time programme, or two unsatisfactory mid-part (R1) reviews for part time programmes. 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 feedback both to the doctoral researcher on their work and from the doctoral researcher in relation to the quality of their experience.

5.3 Progression Boards

The composition and powers of Doctoral Researcher Progression Boards are set out in [paragraph 6 of Regulation 26](#).

The criteria for the evaluation of the doctoral researcher's progression are set out in paragraph 5 of Regulation 26. Any additional requirements or criteria must be specified in published School handbooks or related material.

The Board will take a decision on the progression of each doctoral researcher based on the recommendations contained in supervisors' report and those of the Independent Reviewer. If the recommendations differ then the Board may reach a conclusion itself or may seek the view of a second Independent Reviewer.

The decisions available to the Board are set out in paragraph 6.4 of Regulation 26.

The doctoral researcher will usually receive the reports of the Independent Reviewer and Supervisors within 3 working days of the progress review meeting with the Independent Reviewer. Doctoral researchers may make a written submission to the Board outlining any mitigating circumstances affecting their performance, with supporting medical evidence if appropriate, at least 3 working days before the Board meeting. The Board shall consider this evidence in reaching its decision.

The Board shall report its decision and the rationale for it to the doctoral researcher usually within a maximum of 3 working days of its meeting.

Where a Board concludes under paragraph 6.4.3 that progress is not satisfactory and that the doctoral researcher be permitted time to undertake further work within 3 months (full-time researchers) or 6 months (part-time researchers) a further meeting with the Independent Reviewer will be required when the work has been re-submitted and this should be made clear to the doctoral researcher in the Board's report of its decision together with an outline of the work which the doctoral researcher is required to undertake. This work will typically be a significant revision to the report originally submitted but other requirements may be stipulated if they are essential for the Board to take an informed view on the doctoral researcher's progress. After the work has been completed, the review process will be repeated with a further review meeting with the Independent Reviewer and submission of new Independent Reviewer and Supervisors' reports for consideration by the Board.

Where the Board's decision is that the doctoral researcher's registration be terminated or amended from PhD to MPhil, the Board shall notify the Doctoral College Office who will inform the doctoral researcher and advise them of their appeal rights.

6 ABSENCE FROM STUDIES

6.1 Definitions

Short absence

A short absence is an approved break from studies for up to 1 month where there is no academic engagement. It is intended to assist a doctoral researcher through short-term adverse circumstances, including, but not limited to, illness and recovery from illness, and minor or moderate injury.

Short absence can only be given for a period of up to 1 calendar month.

The doctoral researcher's next review date and submission date will not be adjusted when a short absence is taken.

Where a doctoral researcher is on a short absence, but it is anticipated that the circumstances for which it was taken are likely to affect them for more than one month, the doctoral researcher and their supervisors should seek advice from the Doctoral College Office as to whether submitting a Leave of Absence request is appropriate to support the doctoral researcher's wellbeing and academic progress.

Leave of Absence

Leave of Absence is a recognised and authorised break from studies where there is no academic engagement. Leave of Absence is not a means to extend study periods.

Leave of Absence will normally only be given for requested periods of absence exceeding 1 calendar month and not exceeding 12 calendar months.

Leave of Absence must not be used to accommodate a short period of absence (less than 1 calendar month).

Leave of Absence should not be used where an alternative option to support the doctoral researcher's academic progress, such as the Mitigating Circumstances procedure, would be more appropriate.

Leave of Absence will be appropriate where a doctoral researcher wishes to take maternity leave, paternity leave or other parental leave, and in cases of prolonged physical or mental ill health. Requests on the grounds of difficult personal circumstances will also be considered. In exceptional circumstances, Leave of Absence for the purposes of short-term employment, temporary lectureships, exchanges, voluntary service or expeditions/sport will also be considered.

The doctoral researcher's next review date and submission date will be adjusted by the period of Leave of Absence taken. All time spent on Leave of Absence for a doctoral researcher is excluded when calculating the time limit for the submission of the thesis.

6.2 Sickness policy

Where a doctoral researcher is absent from their research programme due to short-term sickness or illness, they must notify their primary supervisor at the earliest opportunity.

Where a doctoral researcher is absent for up to 7 calendar days, they should notify their supervisors and School research administrator as soon as possible after it is obtained.

Where a doctoral researcher is absent for more than 7 calendar days, they must provide a medical certificate to support their absence. This should be submitted to their supervisors and School research administrator as soon as possible after it is obtained.

If the doctoral researcher's period of sickness extends beyond 14 calendar days, they must notify their supervisors as soon as possible. The supervisors must then consider, in consultation with the doctoral researcher and the DDP, whether requesting a short absence may be appropriate.

Where a doctoral researcher is receiving a stipend funded by a research council, the Doctoral College, or a funding body where payments are administered through the University, they will normally be entitled to a total of 13 weeks sickness pay within a 12-month period. This is dependent on the absence being supported by medical evidence.

6.3 Short absence (up to 1 month)

An approved absence of up to 1 calendar month is defined as a short absence. It will not be processed as a Leave of Absence and should instead be recorded by Schools on Co-Tutor with appropriate documentation and evidence. If the doctoral researcher holds a student visa, the short absence must be reported to the Doctoral College Office so that they can fulfil reporting obligations to UKVI.

The short absence process must not be used to request or record annual leave. Doctoral researchers should request annual leave using the Annual Leave Request Form in [Documentation for Doctoral Researchers](#).

Short absences are approved by the doctoral researcher's Director for Doctoral Programmes.

The doctoral researcher's record will remain active for the period of the short absence.

The doctoral researcher's next review date and submission date will not be altered.

The doctoral researcher will be expected to attend their monthly supervision meeting during the 1-month short absence, but this can be over the phone or via video conferencing as appropriate.

Where applicable, a doctoral researcher will continue to receive their stipend payment during the 1-month short absence. Their absence will be recorded and, where appropriate, will count towards the 13 weeks of sickness pay that is permitted per 12-month period.

The doctoral researcher will be charged fees during the 1-month short absence.

If a doctoral researcher submits a Mitigating Circumstances claim at the end of the Part in which the short absence is taken, they may refer to it as part of their claim.

Where a doctoral researcher has requested more than one short absence in a short period of time, the DDP and the doctoral researcher's supervisors should have a constructive and supportive discussion with the doctoral researcher about the circumstances that have led to the requests. They should consider whether requesting a period of Leave of Absence may be the most appropriate action to support their wellbeing and academic progress. DDPs and supervisors are encouraged to consult with the Doctoral College Office as necessary.

6.4 Leave of Absence (> 1 month and < 12 months)

Leave of Absence is a recognised and authorised break from studies where there is no academic engagement. It applies to a period of authorised absence of more than 1 calendar month and up to 12 calendar months.

Although there remains a contractual obligation with the University, the doctoral researcher's record will be inactive for the period of the Leave of Absence.

A Leave of Absence request form must be completed by the doctoral researcher and, where relevant, supporting evidence and documentation must be supplied. The doctoral researcher's supervisors must indicate whether they support the request and provide a clear plan for the doctoral researcher's Return to Studies meeting (which should normally be held within 10 working days of their return to studies).

The Director for Doctoral Programmes is responsible for approving the request.

The doctoral researcher's next review date and submission date will be adjusted by the period of Leave of Absence taken. All time spent on Leave of Absence is excluded when calculating the time limit for the submission of the thesis.

Where applicable, fees will not be charged to a doctoral researcher during the period of their Leave of Absence.

During a Leave of Absence, there may be an impact on provision of funding for doctoral researchers in receipt of stipends. Stipend payments may be stopped for the period of Leave of Absence, except where a doctoral researcher is entitled to sickness pay or family leave.

Doctoral researchers who have entered the UK on a student visa are permitted a maximum of 60 days absence during which the University can continue immigration sponsorship. During this time, the University's statutory responsibilities as a Home Office student sponsor will apply. Any international doctoral researcher whose circumstances may require a period of absence for more than 60 days – which may include up to 30 days taken as a short absence – must seek advice from the Doctoral College Office.

It is normal practice for a Leave of Absence to start on a Monday and for the doctoral researcher to return to their studies on a Monday.

The maximum period of Leave of Absence that can be requested in the first instance is 12 months. For guidance on extensions to Leave of Absence, see section 6 of this policy.

If a School receives a Leave of Absence request form that they do not wish to approve, and the doctoral researcher cannot be persuaded to return to, and adequately

participate in, their studies within 1 month, the Doctoral College Office should be informed.

6.5 Leave of Absence beyond 12 months

Leave of Absence cannot be requested for more than 12 months in the first instance.

A doctoral researcher is not normally permitted to take more than 24 months consecutive Leave of Absence. Please refer to section 6 of this policy for guidance on extensions to Leave of Absence.

6.6 Leave of Absence during R3 Extension and R3 Additional Extension

Leave of Absence will normally apply only during the period of tuition fee-paying registration stipulated for the relevant research degree under paragraph 3.1 of [Regulation XXVI](#).

Where there are adverse circumstances affecting a doctoral researcher who is due to progress from R3 to R3(E), but they have been required to revise their annual report by a Progression Board, it is recommended that their academic progress is supported through the submission of a Mitigating Circumstances claim rather than a Leave of Absence request. This will not be appropriate where the circumstances affecting them are exceptional or they relate to serious illness or maternity, paternity or other parental leave. DDPs and supervisors are encouraged to consult with the Doctoral College Office as necessary.

Leave of Absence during the extension period will not normally be considered except on the grounds of serious ill-health or maternity, paternity or other parental leave.

If a doctoral researcher in the R3 Extension period wishes to request a Leave of Absence, they should submit the Leave of Absence request form in the usual way.

6.7 Extending Leave of Absence

Leave of Absence will not normally be back-dated, but back-dating by up to 10 working days will be considered in exceptional circumstances. Any Leave of Absence prior to this will be treated informally and will not contribute to the amendment of the doctoral researcher's next review date and submission deadline.

Where a request to extend a doctoral researcher's Leave of Absence occurs at the point when they are due to return to their studies, the School can extend the Leave of Absence without further paperwork for a period of up to 2 weeks.

Any request to extend a doctoral researcher's Leave of Absence beyond this 2-week period must be accompanied by supporting evidence, unless agreement is given by the Senior Assistant Registrar. This will not be permitted for student visa holders beyond the 60 days of absence that they are permitted under the terms of their student visa.

If a doctoral researcher has already had a 12-month Leave of Absence and wishes to request an additional 12-month Leave of Absence, this must be justified with appropriate supporting evidence.

If appropriate evidence is not provided, the doctoral researcher's studies will be terminated in accordance with the provisions of [Regulation IX](#). The doctoral researcher shall have the right to appeal this decision.

In accordance with paragraph 34.3 of [Regulation IX](#), the maximum consecutive period of Leave of Absence for full- and part-time doctoral researchers shall normally be two years.

In addition to the above principles, the Doctoral College Office has the authority, with the agreement of the School, to extend a doctoral researcher's Leave of Absence where there are serious circumstances (such as terminal illness) and it is not considered appropriate to contact them.

6.8 Leave of Absence request form

The Leave of Absence request form can be found in [Documentation for Doctoral Researchers](#).

6.9 Management of progression reviews and boards

Principles

As well as indicating how they will conduct a Return to Studies meeting with the doctoral researcher, supervisors and Schools must assess the impact of the Leave of Absence on a doctoral researcher's next review date at the point when the request form is submitted.

Wherever possible, it is helpful to support the doctoral researcher's academic progress by not adjusting the date of their next review. However, Schools must make decisions based on what is in both the academic and wellbeing interests of the doctoral researcher by examining the circumstances and ability of the individual, assessing what is reasonable, and consulting with the Doctoral College Office for advice if necessary.

Following any necessary discussions between the doctoral researcher's supervisors and DDP, the School research administrator must ensure that arrangements for how the next review will be managed are communicated to the doctoral researcher.

Leave of Absence, Mitigating Circumstances and progression boards

If it is decided that a doctoral researcher should not be taken to the next progression board as scheduled due to the circumstances relating to their Leave of Absence, they should not have the additional pressure of submitting a Mitigating Circumstances claim. The circumstances affecting them – and any supporting evidence – should already be known through the original Leave of Absence request form. This scenario is likely to only affect doctoral researchers whose Leave of Absence began shortly before or after the deadline for submitting their annual report.

It is the responsibility of supervisors to decide whether the doctoral researchers should be taken to the next progression board, in consultation with the DDP. This decision should be made as soon as possible after the doctoral researcher has submitted the Leave of Absence request form. The Doctoral College Office can offer guidance if required.

If the information on the doctoral researcher's original Leave of Absence request form indicates that there are likely to be Mitigating Circumstances affecting their next review (such as bereavement or illness), and that they were due to be taken to that review as a first attempt (i.e. they have not previously had an unsatisfactory review for that Part), the Leave of Absence request form shall constitute the paperwork for the progression board, rather than a Mitigating Circumstances claim.

Doctoral researchers who have not taken a Leave of Absence but who plan to submit a Mitigating Circumstances claim ahead of their annual review, or who have taken a Leave of Absence but whose Mitigating Circumstances claim relates to a separate matter, should submit their claim in the usual way using the forms available in [Documentation for Doctoral Researchers](#).

6.10 Returning from Leave of Absence

4 weeks prior to the date on which a doctoral researcher is due to return from Leave of Absence, they will be emailed by the Doctoral College Office and asked to confirm whether they intend to return to their studies.

The doctoral researcher shall be required to re-register when they return to their studies.

When they have returned to their studies, the doctoral researcher should have their Return to Studies meeting with their supervisors. This should normally take place within 10 working days of their return to study.

Supervisors should use the Return to Studies meeting to: ensure that the doctoral researcher is fit to return to their studies; confirm arrangements for their next annual review and any amendments to their submission deadline; identify any needs for additional support (which may require consultation with the Counselling and Disability Service); and to agree the immediate priorities for the post-Leave-of-Absence period.

For guidance on extending Leave of Absence, see the relevant section of this policy.

6.11 Failure to return from Leave of Absence

If a doctoral researcher has not returned and re-registered within 2 weeks of the due date for their return from Leave of Absence, they will be sent a reminder email.

If the doctoral researcher has still not re-registered after 4 weeks, a final reminder email will be sent, advising them that they have 10 working days in which to respond and advise the Doctoral College Office or their School of their intentions, and that their studies will be terminated if they fail to respond within that timeframe.

If there is no response from the doctoral researcher within 10 working days, their studies will be terminated in accordance with the provisions of [Regulation IX](#). The doctoral researcher shall have the right to appeal this decision.

6.12 Failure to engage

If a doctoral researcher ceases to engage with their programme adequately, the primary supervisor should discuss the situation with the Director of Doctoral Programmes.

Unauthorised absence for more than one month, whatever the circumstances, must be followed up by the School and the Doctoral College Office must be informed of the concerns.

If a doctoral researcher does not respond adequately within a further 2 weeks, the situation must be reported to the Doctoral College Office who will make further enquiries and may initiate the termination of studies procedure under [Regulation IX](#) (see also paragraph 5.1 of [Regulation XXVI](#)).

6.13 Fitness to Study procedure

This procedure may be applied to doctoral researchers whose ability to cope with University life, to study and progress on their research degree programme, is seriously compromised as a result of their health, wellbeing, or a disability.

This procedure is designed to ensure that any concerns relating to a doctoral researcher's ability to study are managed and addressed in a timely, equitable and supportive manner.

More information is available in the [University's Fitness to Study procedure](#).

7 GUIDANCE FOR EXAMINERS AND EXAMINATION PROCEDURES

This guidance has been produced to support examiners through the process of conducting viva examinations at Loughborough University. It complements the full regulations for research degrees, which can be found in [Regulation XXVI: paragraphs 9 - 13 and 15](#).

7.1 Appointment and eligibility of Examiners

Examiners for a research degree submission will be appointed by the Associate Dean (Research) of the School on the recommendation of the doctoral researcher's Supervisors.

External Examiners will normally be research active members of academic staff at another institution of higher education or research institute.

Examiners must normally have previous experience of supervising and examining theses for the degree they are being nominated to examine. Examiners should hold a record of completed research comparable to that required for the higher degree in question.

In a highly specialised area it may be necessary exceptionally to approach a proposed External Examiner who may have had little previous experience of research degree supervision and/or examination. In such circumstances, provided that the proposed External Examiner's expertise was unquestioned, they may be appointed in conjunction with a highly experienced Internal Examiner or a second External Examiner with a general and complementary knowledge of the subject area.

Exceptionally where a second External Examiner is appointed an independent non-examining chair of the viva panel would also attend the viva to represent the University in the absence of an Internal Examiner.

It may be appropriate exceptionally to nominate an Examiner who is not an academic member of staff of another University, provided that they are an expert in the doctoral researcher's field of research. The first time the nomination is made evidence of their research activity shall be submitted. In the event that they have little or no previous examination/supervision experience they may be appointed in conjunction with a highly experienced Internal Examiner or in exceptional circumstances a second External Examiner with general, complementary knowledge of the subject area. Where a second External Examiner is appointed an independent non-examining chair of the viva panel will attend the oral examination to represent the University.

In the event that a member of staff of a non-UK University is proposed as an Examiner, familiarity with the UK research degree system either through previous employment or previous supervision/examination of doctoral researchers should be demonstrated. If this is not possible then an experienced Internal Examiner should be appointed alongside who will undertake to brief the External Examiner on the expectations of a research degree submission.

A former member of staff of Loughborough University may not act as an external examiner for a research degree submission within a period of two years from the date of their leaving the University.

Emeritus Professors may be considered for appointment as Internal Examiners if they have only recently retired from the University. A maximum interval of five years should be taken as a guideline.

The independent non-examining viva chair shall be a member of the academic staff of the University from a School other than the one in which the candidate is registered. The appointment will be made by the ADR of the School where the candidate is registered. The candidate's supervisors shall identify the chair in the first instance. The role of the chair is to facilitate the oral examination (viva) and to ensure it is appropriately conducted. In the absence of an internal Examiner the chair may provide or seek guidance on University regulations as appropriate. The chair is required to keep a written record of the conduct of the examination and to submit the report to the Doctoral College Office with the Examiners' reports following the viva. Where no internal Examiner has been appointed the chair shall make the arrangements for the viva with the support of the candidate's School.

7.2 Responsibilities before, during and after the viva

The doctoral researcher is responsible for:

Completing their Intention to Submit form no later than three months prior to submission.

Indicating, at the point when the Intention to Submit form is submitted, whether any reasonable adjustments may be required to support their performance at the viva by notifying either their supervisors (where there are existing adjustments) or Student Wellbeing and Inclusivity (if new or altered adjustments may be required).

Raising, with their supervisors, any concerns regarding the appointment of their examiners at the earliest opportunity.

Responding promptly to communications relating to the arrangement of the viva.

Ensuring that any amendments to the thesis required by the examiners are completed within the specified timeframe.

The supervisors are responsible for:

Completing the Intention to Submit form in a timely way and providing accurate and complete information.

Ensuring, in advance of the viva, that the doctoral researcher is aware of the possible outcomes.

Ensuring that the internal examiner is made aware in good time of any existing reasonable adjustments that need to be put in place to support the doctoral researcher's performance.

Liaising as necessary with internal and external examiners to ensure that the viva is held in a timely fashion and normally within 3 months of the submission date.

Providing appropriate support and guidance to the doctoral researcher after the viva examination in the event of amendments or revision being required.

The internal examiner is responsible for:

Liaising with the doctoral researcher, external examiner(s), and supervisors to arrange the date and time of the viva, ensuring that it is held in a timely fashion and normally within 3 months of the thesis submission date.

Informing the School research administrator when the date of the viva has been fixed.

Familiarising themselves with School practice for the organisation of viva examinations and communicating promptly and clearly with the School research administrator(s) regarding any logistical support required. This may include booking a room for the viva examination, booking the External examiner's accommodation, catering arrangements, etc.

Facilitating any reasonable adjustments to the oral examination and ensuring, in conjunction with the Doctoral College Office, that the external examiner is aware of any reasonable adjustments that will be in place to support the doctoral researcher's performance.

Working in conjunction with the Doctoral College Office to facilitate any reasonable adjustments required to enable the external examiner to attend and conduct the viva.

Ensuring that the viva is conducted in accordance with Regulation XXVI and in the spirit of this guidance.

Completing the Examiners' Independent Preliminary Report form prior to the oral examination and completing the Examiners' Joint Report and Recommendation form immediately after the viva.

Ensuring that the Examiners' Joint Report and Outcome form, and the Examiners' Independent Preliminary Report forms, are submitted to the Doctoral College Office no later than 5 working days after the date of the viva.

In the event of a 'Pass' outcome requiring minor or modest amendments, or a recommendation that the doctoral researcher be awarded an MPhil subject to the completion of minor or modest amendments, assessing and approving any required amendments to the thesis and notifying the Doctoral College Office that they have been approved. In the event of a 'Refer' outcome, examining – with the external examiner – the resubmitted thesis and considering whether the revisions have been undertaken and the overall standard for the award of the research degree has been reached. Where relevant, they will also organise any second viva examination.

The external examiner is responsible for:

Responding promptly to communications from the Doctoral College Office and the internal examiner regarding their appointment and the organisation of the viva.

Notifying the Doctoral College Office and internal examiner of any adjustments relating to a physical or mental condition that are required to enable them to attend and conduct the viva.

Complying with the University's requirement to conduct a Right to Work check by providing a copy of their passport to the Doctoral College Office upon their appointment, and providing the School research administrator, or relevant School contact, with the original passport on the date of the viva.

Completing the Examiners' Independent Preliminary Report form prior to the oral examination, and completing the Examiners' Joint Report and Outcome form immediately after the viva.

In the event of a 'Refer' outcome, examining – with the internal examiner – the resubmitted thesis and considering whether the revisions have been undertaken and the overall standard for the award of the research degree has been reached.

Where present (see criteria in Regulation XXVI), the independent non-examining chair is responsible for:

Ensuring that the viva is conducted in accordance with Regulation XXVI and in the spirit of this guidance

Where two external examiners have been appointed, the independent chair shall assume the responsibilities of the internal examiner outlined above, with the exception of completing the report forms and approving amendments or revisions to the thesis.

Keeping a written record of the conduct of the examination and submitting the report to the Doctoral College Office with the Examiners' Joint Report and Outcome form following the viva.

The School research administrator is responsible for:

Supporting the internal examiner (or independent chair) in the organisation of the viva.

Assisting or acting on behalf of the internal examiner to book the external examiner(s)' accommodation, catering for the day of the viva, room bookings, taking a copy of their passport for the purpose of the Right to Work check, etc.

The Doctoral College Office is responsible for:

Ensuring that the doctoral researcher's thesis is sent to the internal and external examiners in a timely way, and normally within 2 working days of submission.

Acting as a point of contact for the doctoral researcher, internal and external examiners, supervisors, and independent non-examining chair to provide guidance on issues relating to the conduct of the oral examination.

Working in partnership with the doctoral researcher, the Student Wellbeing and Inclusivity Team and the doctoral researcher's examiners, to implement any reasonable adjustments required to support the doctoral researcher's performance at the oral examination.

Working in partnership with the external and internal examiners to implement any reasonable adjustments required to enable the examiners to attend and conduct the viva.

Upon receipt of the Examiners' Joint Report and Outcome form, ensuring that the doctoral researcher is officially notified of the outcome of the viva, normally within 2 working days.

7.3 Purpose of the viva examination

The viva examination is an integral part of the doctoral examination.

The purpose of the oral examination is to:

- Enable the examiners to be confident that the content of the thesis is the doctoral researcher's own work
- Provide an opportunity for the doctoral researcher to demonstrate their knowledge in the field, understanding of research methods and the significance of their contribution to knowledge
- Clarify any points which may have been unclear to the examiners
- Understand and discuss any deficiencies in the work and to provide context to the decision of the examiners

The examiners may also discuss ways of developing the doctoral researcher's research and writing beyond the requirements of the research degree, but these discussions do not form part of the assessment.

The examiners complete two separate forms. The first is the Independent Preliminary Report form. It is completed prior to the viva and outlines each examiner's individual report on the written thesis and gives their preliminary assessment. The second is the Joint Report and Outcome form, which the examiners complete together immediately after the viva and contains the final outcome of the examination. It is the joint report, not the preliminary reports, that will constitute the doctoral researcher's result.

7.4 Before the viva examination

Examiners must ensure that adequate time is set aside for the oral examination. This should include time for any pre-viva discussion between the examiners, the viva examination itself and the drafting of the Examiners' Joint Report and Outcome form.

The oral examination should usually be held at the University but can take place via electronic means if all parties agree to the arrangements. The internal examiner or School research administrator should consider the suitability of the room for the purpose of an oral examination to ensure as few distractions as possible. This should include environmental conditions (such as lighting and temperature) as well as noise (away from building work, for instance).

It is important that the need for reasonable adjustments is identified well in advance of the viva examination. The Doctoral College Office shall work in partnership with the Student Wellbeing and Inclusivity Team, as well as the doctoral researcher's examiners, to identify when reasonable adjustments may be required to support the doctoral researcher's performance at the oral examination and what specific adjustments should be implemented. The internal examiner is responsible for facilitating on the day any reasonable adjustments to the oral examination, which will have been agreed upon in advance.

Attendance at an oral examination by the doctoral researcher for a research degree may be waived only by the Associate Pro Vice-Chancellor for the Doctoral College with the advice of the Student Wellbeing and Inclusivity Team. Where attendance at the oral examination is waived a second or third external examiner should be appointed as considered appropriate.

The internal examiner should establish the attendees to the examination. Only the doctoral researcher to be examined and the examiners (including an independent non-examining chair where one has been appointed) should normally be present during the viva examination. Only one member of the doctoral researcher's supervisory team may attend the viva examination as an observer, but only where the doctoral researcher has indicated that they wish them to be present in their Intention to Submit form.

The internal examiner should ensure that the doctoral researcher's supervisors – usually the primary supervisor – will be contactable on the day of the viva. It is expected that the supervisor will be physically present within the building where the examination is taking place (usually the doctoral researcher's School) but being available via telephone is acceptable if this is not possible.

The internal and external examiners will each complete the Independent Preliminary Report form on the thesis prior to conducting the oral examination of the doctoral researcher. The form must be completed prior to any consultation between examiners. The Independent Preliminary Report forms, together with the completed Examiners' Joint Report and Outcome form, should be completed and submitted to the Doctoral College Office, and copied to the School research administrator, within 5 working days of the viva.

7.5 Immediately before the viva examination

The external examiner must provide the School research administrator, or appropriate School contact, with the original copy of their passport in order to fulfil the University's requirement to complete a Right to Work check.

Immediately prior to the viva, the examiners should arrange to confer with one another in order to:

- Exchange copies of the Independent Preliminary Report forms (if this has not already been done)
- Identify matters to be raised in the examination
- Agree the broad strategy for the examination, such as who will ask what questions and in what order

The viva examination may not proceed without all the appointed examiners being present. In the event of an Examiner's unexpected illness, the examination must be postponed to another date. In the event of an independent non-examining chair's illness, the School should identify and appoint a replacement.

Where a doctoral researcher's attendance at an oral examination has been waived, their examiners should meet to discuss their recommendation. If it is not possible for all the examiners to meet this must be part of the case made to the Associate Pro Vice-Chancellor (Doctoral College) when seeking to waive the requirements for a doctoral researcher to attend an oral examination.

7.6 At the viva examination

The doctoral researcher should be welcomed and made to feel at ease as much as possible.

The internal examiner should explain the purpose of the viva examination and the roles of those present.

If the doctoral researcher's supervisor and/or an independent non-examining chair are present, the internal examiner should clearly explain their roles:

- The supervisor is in attendance as an observer only and must remain silent during the examination. The supervisor may not participate in the examination and takes no part in the academic judgement of the examination or the decision-making process
- The role of the independent non-examining chair is to ensure that the examination is conducted in a fair, equitable and professional manner, and in accordance with Regulation XXVI. The independent non-examining chair does not play a role in the academic examination or questioning of the doctoral researcher. They will, however, remain in the room after the examination while the examiners discuss their final recommendation on the outcome

Prior to meeting the doctoral researcher, as outlined in 7.2, the examiners should discuss the strategy they propose to adopt during the oral examination and, at its outset, this should be outlined to the doctoral researcher.

Examiners should be cautious about their comments on the potential outcome of the examination at the outset of the viva, given that the viva is an integral part of the examination process. It is advised that no-one indicates to the doctoral researcher, either before or during the viva, what is the likely outcome of the examination.

The examination should be conducted in such a way that the doctoral researcher has sufficient opportunity, encouragement and time to explain their research and defend the thesis.

The doctoral researcher should be allowed the time to collect their thoughts and develop responses to the questions posed by the examiners. They should be allowed to consult their copy of the thesis (which may be annotated) during the examination.

While some robust questioning of the doctoral researcher may be needed, it must not be aggressive or intimidatory. Examiners should use succinct and focused questions wherever possible. Questions should be relevant to the work. If the doctoral researcher gives a poor answer, the examiners should seek to rephrase the question and give the doctoral researcher an opportunity to provide an improved response.

The viva examination should run for as long as may be necessary for it to serve its proper purpose (see section 2), allowing short breaks if necessary or requested.

If the doctoral researcher becomes unwell or distressed during the oral examination – whether this relates to a physical or mental health problem – the examiners should consult with the doctoral researcher and supervisor(s) to decide whether to continue the oral examination. This should be noted in the final report and the Doctoral College Office should be notified.

If the doctoral researcher is unable to continue with the oral examination and it is stopped, examiners should determine whether sufficient evidence has been provided to allow an outcome to be decided or whether it will be necessary to hold another examination.

If the problem continues over an extended period and is causing significant distress, the examiners or supervisor(s) may need to facilitate medical help by calling a First Aider and potentially arranging a visit to the University Medical Centre.

If the doctoral researcher is expected to attend another examination, the doctoral researcher and examiners should, in conjunction with the Doctoral College Office, seek further advice from the Counselling and Disability Service to discuss whether any reasonable adjustments will be appropriate for a future viva and further options for support in preparation.

At the close of the examination, the doctoral researcher should be asked if they feel the examination has covered all the points they were expecting, and they should be given the opportunity to raise any points in relation to the thesis which they feel were not covered.

On completing the oral examination, the doctoral researcher will normally be asked to withdraw – along with any observer – before the examiners begin their final deliberations. If present, the independent non-examining chair will remain in the room while the examiners discuss the final outcome. It is advised that examiners are courteous to the doctoral researcher and should notify them of the outcome as soon as possible.

7.7 After the viva examination

When the examiners have made their decision, the doctoral researcher – along with any observer – should be invited back into the room in order to receive the outcome. A single outcome must be made based on the assessment of the thesis combined with the doctoral researcher's performance at the viva. If the examiners are unable to reach a joint decision, the Doctoral College Office must be notified immediately. Examiners will be required to submit separate reports, after which a third examiner shall be appointed, whose decision is final.

Depending on the outcome, the examiners must clearly outline to the doctoral researcher the next stages in the process, including: the communication of any amendments or revision to the thesis; the process for reviewing the amendments or revisions (including who is responsible for reviewing and approving the amendments or revisions); and the timescale within which these must be completed.

7.7.1 Outcomes

The outcomes available to the examiners are outlined below. In the case of a second oral examination following a 'Refer' outcome and the resubmission of a thesis, outcome 4 may not be selected. Where a doctoral researcher is being examined for the award of the degree of Master of Philosophy, outcomes 5, 6 and 7 do not apply:

Outcomes indicating a pass

1. Pass: no amendments required

2. Pass: subject to minor amendments

Minor amendments may include: correction of typographical, spelling and grammatical errors; minor errors or omissions in content; corrections to references; improvements to the quality of diagrams, tables, charts or images; alterations to appendices; minor changes to layout. They will require no new research.

The maximum timeframe for completion of minor amendments is **2 months**. They are subject to the approval of the internal examiner.

3. Pass: subject to modest amendments

Modest amendments require further work **beyond** correcting editorial or formatting errors and minor errors or omissions in content. They may require limited further analysis, re-writing or re-structuring, amendments to the review or assessment of the relevant literature, but will not materially alter the findings of the thesis, nor will they require any significant extension of the original research to be undertaken.

The maximum timeframe for completion of modest amendments is **6 months**. They are subject to the approval of the internal examiner.

Outcomes falling short of a pass

4. Refer: that the candidate be permitted to submit a revised thesis

The thesis is inadequate in one or more criteria for the degree (listed in the Examiners' report forms and in paragraph 11 of [Regulation XXVI](#)). However, the candidate appears capable of revising the thesis to satisfy the requirements of the research degree for which it was submitted, although the work that is needed will require further supervision. Examiners must indicate whether a further oral examination is required.

The maximum timeframe for re-submission of a revised thesis is **12 months**. Regardless of whether a second oral examination is required, the revised thesis must be re-examined by both the internal and external examiners.

Outcomes indicating that the thesis and oral examination have failed to meet the criteria for the award of the research degree

5. Fail: recommend award of the degree of Master of Philosophy without amendments

6. Fail: recommend award of the degree of Master of Philosophy with minor amendments

Minor amendments may include: correction of typographical, spelling and grammatical errors; minor errors or omissions in content; corrections to references; improvements to the quality of diagrams, tables, charts or images; alterations to appendices; minor changes to layout. They will require no new research.

The maximum timeframe for completion of minor amendments is **2 months**. They are subject to the approval of the internal examiner.

7. Fail: recommend award of the degree of Master of Philosophy with modest amendments

Modest amendments require further work **beyond** correcting editorial or formatting errors and minor errors or omissions in content. They may require limited further analysis, re-writing or re-structuring, amendments to the review or assessment of the relevant literature, but will not materially alter the findings of the thesis, nor will they require any significant extension of the original research to be undertaken.

The maximum timeframe for completion of modest amendments is **6 months**. They are subject to the approval of the internal examiner.

8. Fail: that the research degree not be awarded and that re-submission of the thesis is not permitted

A joint report is required following the viva but each examiner may give a brief statement of the grounds for their recommendation on the form provided. The formal written report should be submitted to the Doctoral College Office as soon as possible and normally within 5 working days of the oral examination.

Where amendments are required or a thesis is referred, the examiners are required to submit a detailed and clear list of amendments, including any specific aspects that require further work. This list forms part of the Examiners' Joint Report and Outcome form.

If the doctoral researcher becomes distressed on receiving an adverse outcome, the examiners are advised to contact their supervisor(s) to provide support. If they are unavailable, the doctoral researcher's Director of Doctoral Programmes should be contacted.

If the examiners become concerned about a doctoral researcher's wellbeing or behaviour on receiving an adverse outcome, they should inform the Doctoral College Office. A referral to the Counselling and Disability Service may be required. Staff with serious concerns about a doctoral researcher's wellbeing at the time can ask for advice by calling Student Services during office hours on +44 (0)1509 222765.

If the doctoral researcher is required to undertake further work on the thesis submission to meet the examiners' requirements, the examiners may be approached through the supervisors for further clarification regarding the work to be accomplished if it is felt that additional guidance is necessary.

It is the doctoral researcher's responsibility to undertake the additional work, seeking advice from their supervisors as necessary. The supervisors should ensure that they are available to provide this support.

Examiners should not comment on the revised submission prior to re-examination.

Where a doctoral researcher has received a 'Pass' outcome subject to minor or modest amendments, or a recommendation that they be awarded an MPhil subject to minor or modest amendments, the internal examiner is responsible for reviewing and establishing whether the amendments have been satisfactorily completed and the overall standard for the award of the research degree has been reached.

Where a doctoral researcher has received a 'Refer' outcome, the revised thesis (one copy per examiner plus a spare copy) shall be submitted to all the original examiners via the Doctoral College Office. The examiners shall examine the resubmitted thesis and consider whether the revisions have been undertaken and the overall standard for the award of the research degree has been reached.

Where a doctoral researcher receives a 'Fail' outcome of any kind, they shall have the right to appeal the decision in accordance with the provisions of paragraph 15 of Regulation XXVI. Details of the appeals process will be provided in the official notification of the outcome that is sent to the doctoral researcher by the Doctoral College Office. Doctoral researchers seeking advice and support in the preparation of an appeal may contact LSU Advice at Loughborough Students' Union, where staff are available to provide guidance: lsuadvice@lsu.co.uk or +44 (0)1509 635072.

7.8 Degree conferral

It is not necessary for doctoral researchers to attend Degree Congregations in order for their degrees to be conferred. In the absence of any instructions to the contrary a doctoral researcher's degree will be conferred in absentia at the next available Degree Congregation if they do not attend.

8 STAFF SUBMISSION BY PUBLICATIONS

([Reg XXVI Paragraph 7](#))

This is a route designed for those who already have a body of published work before they register for the degree.

8.1 For candidates registering for a PhD by Publication from 1 October 2016

The following guidelines have been approved for the submission of a thesis by publications.

The regulations for Higher Degrees by Research permit members of staff of the University of five years standing and graduates of the University to submit published work, or other academic output, for a higher degree of the University. Senate has approved the following guidelines for such submissions:

1. The general principles for any submission for a higher degree should apply, namely that the work should represent an original contribution to knowledge, should provide evidence of training in and the application of research methods appropriate to the field of study and should not have been presented for a higher award at another institution. In addition, the candidate should be able to demonstrate that they are well acquainted with the general field of knowledge to which the subject relates.
2. The published work or other academic output must form a coherent whole and relate to a common theme. It should be comparable in substance and size to a submission by research thesis.
3. A submission may take one of the following forms:
 - i. A collection of research articles from refereed journals, or other equivalent academic output, would normally be expected for a PhD submission. An introductory chapter should accompany the articles.
 - The overall length of the submission should be comparable to a standard 80,000-word (or its equivalent in terms of tables or numerical output) thesis.
 - The introductory chapter should be up to 6000 words in length and should, where not apparent from the articles themselves, explain the common theme of the papers or output, linking them into a coherent whole; explain the methodology; place the articles in a theoretical context provided by the wider literature; suggest what further work needs to be done and indicate the author's contribution to co-authored publications or output. Other research output such as computer software or patents may also be presented provided that the material is publicly available.
 - ii. A single research monograph may be presented for a PhD submission. This method of submission (by publications or other academic output) would not normally be appropriate for the award of the degree of MPhil.

8.2 For Candidates registered for a PhD by Publication prior to 01 October 2016

The following guidelines have been approved for the submission of a thesis by publications.

The regulations for Higher Degrees by Research permit members of staff of the University of five years standing and graduates of the University to submit published work, or other academic output, for a higher degree of the University. Senate has approved the following guidelines for such submissions:

1. The general principles for any submission for a higher degree should apply, namely that the work should represent an original contribution to knowledge, should provide evidence of training in and the application of research methods appropriate to the field of study and should not have been presented for a higher award at another institution. In addition, the candidate should be able to demonstrate that they are well acquainted with the general field of knowledge to which the subject relates.
2. The published work or other academic output must form a coherent whole and relate to a common theme. It should be comparable in substance and size to a submission by research thesis.

3. A submission may take one of the following forms:

- i. A minimum of eight research articles from refereed journals, or other equivalent academic output, would normally be expected for a PhD submission. An introductory chapter should accompany the articles. This chapter should be up to 6000 words in length and should, where not apparent from the articles themselves, explain the common theme of the papers or output, linking them into a coherent whole; explain the methodology; place the articles in a theoretical context provided by the wider literature; suggest what further work needs to be done and indicate the author's contribution to co-authored publications or output. Other research output such as computer software or patents may also be presented provided that the material is publicly available.
- ii. A single research monograph may be presented for a PhD submission. This method of submission (by publications or other academic output) would not normally be appropriate for the award of the degree of MPhil.

8.3 In addition to the thesis the following must be submitted:

- a signed certificate stating that neither the thesis nor the original work contained therein has been submitted to this or any other institution for a degree.
- three additional copies of the abstract, not bound into the thesis, of about 300 words and not longer than can be accommodated on one side of a sheet of A4 paper, which are required for library abstracting purposes.
- a list of 6 to 10 'Key words' in order to assist the University Library to catalogue the thesis.

8.4 Submitting published work

Where a submission of published work is being made under paragraph 6 or 7 of the Regulations, paper, journal articles and other unbound items should be bound in soft covers for submission. It is preferable that such articles etc. are photocopies on A4 paper so that the submission is of uniform consistency. Books and monographs may be submitted separately from the bound collection of articles. The bound collection should contain:

- a sheet giving the candidate's name, a title descriptive of the collection of documents and the degree for which it has been submitted; and
- a list of items included in the submission.
- a statement specifying the current location of copyright in each case.

9 PRESENTATION BY STANDARD THESIS FORMAT

This route can be used when submitting for the award of MPhil or PhD as defined under section 3.1 of Regulation XXVI.

9.1 Copies for Submission

An electronic copy of the work must be submitted to the Doctoral College (Registry) for examination. The thesis must be written in English. Text, should be 1 1/2 spaced on A4 format.

Hard copies may be exceptionally requested, but usually only when it is necessary as a reasonable adjustment for an examiner.

9.2 Format

For a submission which is in conventional book form, hereafter referred to as ‘a standard thesis’, presentation should be as follows:

- The pages are to be numbered consecutively; a table of contents and an abstract are to be included.
 - If a printed copy is required, a candidate may print text on both sides of the paper provided that the paper is of sufficient weight to ensure that the text is perfectly legible. Otherwise the text should be printed on one side of the paper only.
 - The title page must take a form similar to that shown in Appendix III. This includes the precise format of the © Notice to claim copyright protection in all countries which are signatories to the Universal Copyright Convention.
 - The thesis must contain a statement indicating the author's responsibility for the work submitted, including the extent of their contribution of original work, and a complete thesis access conditions form which must be inserted into the front of each copy of the thesis.
 - In addition to the submitted work a signed certificate stating that neither the thesis nor the original work contained therein has been submitted to this or any other institution for a degree must be included.

For a submission which consists of a thesis plus an artefact (or artefacts) which are integral to the research process and output the same presentation of the thesis as in 1(a) is required except that in addition the artefact (or artefacts) should be listed in the contents and referred to in the abstract.

The artefact(s) will be either a creative work(s) or invention(s) which together with the thesis constitute an integrated thesis for new understanding.

A permanent record of the artefact(s) submitted shall be bound within the thesis.

For a submission which consists of a media production other than a conventional thesis the candidate, through their Associate Dean (Research), will apply to the Associate Pro Vice-Chancellor of the Doctoral College at least six months before submission for permission to submit in a non-thesis form. In considering their decision the Associate Pro Vice-Chancellor of the Doctoral College will assess whether the advancing of knowledge in the candidate's research project requires a non-

conventional media to achieve its full potential. If the non-conventional media submission is accompanied by an artefact(s) the presentation will follow 1(b) above.

9.3 Submission Length

The thesis should be presented in satisfactory literary form (including references, notes and bibliography, as appropriate) and should not be of unnecessary length. Doctoral researchers are advised not to exceed 80,000 words or their adjudged equivalent for a doctoral thesis. It is the responsibility of the author to check the submission for spelling and accuracy.

9.4 Thesis Deposit

The award of a research degree will not be made until an electronic version of the final version of the thesis, as approved by the Examiners, has been deposited with the University Library for inclusion in the Institutional Repository together with a signed Thesis Deposit Agreement.

9.5 Thesis Access Conditions

Access will normally be 'open' except in cases where industrial sponsorship, or other special circumstances, warrant restriction of access. Normally this should have been determined at the outset of the research project, and certainly not later than at the time of submission. Where restriction of access is necessary the primary supervisor or Dean of School will specify a moratorium period of normally up to three years. The 'restricted' access classification is used for example where the overall project is a continuing one to be carried on by others or when access is delayed to allow further development of ideas which are not protected by copyright. (Copyright can only protect phraseology and there can be no copyright on ideas).

The 'confidential' classification is used where a patent is pending or where a sponsor specifies security for this or any other reason.

For both 'restricted' and 'confidential' submissions it will be necessary for anyone wishing access to seek the written permission of the Dean of School.

Restricted and Confidential submissions revert to 'open' classification at the end of the moratorium period.

It should be noted that, in respect of a Restricted or Confidential submission, the author is themselves subject to the moratorium conditions; in respect of a desire to publish, this means seeking the prior approval of the relevant Supervisor or University Dean of School.

9.6 Copyright

Where a thesis contains third party copyright material the doctoral researcher must obtain permission for its publication, including on the Internet via the University's Institutional Repository. If the doctoral researcher is unable to obtain permission for the use of substantial copyright material, then an indefinite moratorium of the thesis can be applied. Where a doctoral researcher is unable to obtain permission for use of a limited range of copyright material, then the electronic copy of the thesis can be submitted in two versions, a full version with a moratorium on publication and a second version without the third-party copyright material (maintaining the original pagination) which will be placed on open access.

10 PRESENTATION BY ALTERNATIVE THESIS FORMAT

This route can be used when submitting for the award of PhD as defined under section 3.1 of Regulation XXVI.

10.1 Choosing between a standard and alternative thesis format

When considering an alternative format thesis submission, the first step is to discuss this with your supervisory team.

A thesis in alternative format includes chapters that are in the format of a scholarly journal article, stand-alone book chapter, or similar scholarly materials prepared for publication (hereafter collectively referred to as 'papers'). These can be published papers, submitted papers, or drafts that are written as potential papers but have not yet been submitted for publication. Apart from the inclusion of such materials, the alternative format thesis must conform to the same standards expected for a standard thesis.

Any work submitted within the alternative format thesis must be substantially different from any work which may have previously been submitted for any degree at this or any other institution. The thesis must be based on original research undertaken as part of the doctoral research degree which contribute to a Loughborough degree. This will normally mean research undertaken after the registration date on the research degree programme at Loughborough.

The thesis should represent a contribution to knowledge and contain original work worthy of publication. It should also provide evidence of training in and application of research methods appropriate to the particular field of study. The full criteria for a PhD are set out in paragraph 11.2 of Regulation XXVI.

As with standard doctoral theses, examiners should satisfy themselves that the alternative format thesis meets the requirement of the doctoral degree as prescribed in the appropriate regulations and policies. The fact that a thesis contains material that has been published or accepted for publication does not guarantee that the examiner will recommend the award for which the candidate is being examined. The examiners are entitled to examine the doctoral researcher on any part of the thesis, and to specify revisions to any part of the thesis text presented for examination, including those parts already published or accepted for publication.

The alternative format is not normally available for initial submissions for the degree of MPhil. However, a PhD thesis originally submitted in the alternative format should remain in that format if the examiners decide it does not meet the PhD criteria but it may be resubmitted for the award of MPhil. Exceptionally, where a doctoral researcher has been planning to submit in the alternative format but their personal circumstances change and they decide to submit for an MPhil, their submission may be made in the alternative format.

10.2 Approval for submission in alternative format

In order to submit a thesis in alternative format you should have the approval of your supervisors and the Director of Doctoral Programmes.

- If you wish to adopt this format, the primary supervisor should contact the DDP to ensure the model agreed with doctoral researchers is appropriate.

- Schools will set out in their own guidance the expected timescales for discussion and agreement of the use of the alternative format and you should check this guidance carefully.
- The School guidance will indicate when the format must be agreed, and this will be no later than the R2 review.
- The format of the thesis should be discussed at the earliest opportunity and Schools may require such discussions to be before the 6-month review. Intention to use this format should be recorded by the primary supervisor *and* doctoral researcher in relevant progress reports as stipulated by the School.
- In rare circumstances – and only with the authorisation of the DDP – a doctoral researcher may switch formats after formal agreement by the School.
 - Format switches are allowed only in truly exceptional circumstances.
 - Doctoral researchers are strongly advised not to use registration time to rewrite material from one format into another. Later decisions to change the thesis format would not be sufficient cause to warrant an extension to registration for rewriting purposes.
- Doctoral researchers will be asked to indicate the format of their thesis during the examination process when completing their Intention to Submit Form.
 - Supervisors should confirm the format with potential external Examiners, in writing via email, before the latter agree to serve as external Examiners.

10.3 Structure

The supervisors are best placed to advise on how to structure a thesis in alternative format.

- The work must constitute a body of publications tending towards a coherent and continuous thesis, rather than a series of disconnected publications. The thesis should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis outlined in 9.3. The thesis must satisfy the following criteria:
- The number of papers included in the alternative format thesis may vary according to discipline, but should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis. It should normally be a minimum of three papers.
- The supervisor and doctoral researcher need to agree on the number of papers that will be included, and this must be recorded in your progress reports.
- In addition to the stand-alone papers, the thesis must include:
 - An introductory chapter, which in addition to the standard content of an introductory chapter in the discipline, includes:
 - an account of how the thesis has been constructed, including identification of chapters that are published or in publishable format;
 - an explanation of how all the papers fit together into a coherent and continuous thesis.
 - A detailed and critical analysis of the methods used, which may be in a separate chapter if the papers formatted for publication do not include this level of detail.

- A concluding chapter, which as well as the standard content of a concluding chapter in the discipline, includes:
 - A summary of the research findings in the preceding papers/chapters and critical analysis of their relation to state-of-the-art research within the subject area.
 - An amalgamation of the discrete conclusions of the individual papers/chapters that explores the overall significance of the work and its contribution to the field.
- Additional content may include:
 - Preliminary and background data supporting one or more of the papers may be incorporated into the thesis as commentary text accompanying the chapter.
 - Research findings not written into an academic paper may be incorporated into the thesis as a conventional results chapter.
- If there are co-authors on any of the papers, the introductory chapter must explain and justify in full the nature and extent of the doctoral researcher's contribution and the contribution of co-authors.
 - As with any co-authored work for any thesis format, the doctoral researcher must certify in writing the extent to which the submission is their own work and in each case in which there has been cooperative effort the nature and extent of that effort must be fully specified.
 - It is expected that the doctoral researcher will have undertaken the major role in ALL aspects of the work (data collection and analysis, writing, etc) as explained in introductory chapter.
- As each academic paper will have self-contained components that may overlap with other sections of the thesis, there may be some duplication of material.
- The thesis should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis.
- The thesis should normally not exceed 80,000 words

10.4 Formatting

Accepted manuscripts of papers should be stylistically integrated into the thesis, matching typeface, margins, and pagination. The manuscript of any papers intended for future publication and currently in draft form should be treated in the same manner.

Journal-formatted published papers may be included in the thesis if approved by the copyright holder. Where possible, the doctoral researcher should alter the page numbers to align with the main document. Where this is not possible, a sheet of A4 may be placed before each published paper, on which is displayed the publication title and the thesis page numbers that it spans.

10.5 Attribution

You can include co-authored papers in an alternative format thesis submission, including those written alongside another doctoral researcher but the substantial part must be your original work and it is expected that you will be the first author on the submitted/published papers – please check this with your supervisors. In your introductory chapter, you need to clearly outline what major contribution you made to all aspects of the work: data collection and analysis, writing of the paper, etc.

10.6 Copyright

Where a thesis contains third party copyright material the doctoral researcher must obtain permission for its publication, including on the Internet via the University's Research Repository. If the doctoral researcher is unable to obtain permission for the use of substantial copyright material, then an indefinite moratorium of the thesis can be applied. Where a doctoral researcher is unable to obtain permission for use of a limited range of copyright material, then the electronic copy of the thesis can be submitted in two versions, a full version with a moratorium on publication and a second version without the third-party copyright material (maintaining the original pagination) which will be placed on open access.

10.7 Inclusion of material that has already been published

The guidance below specifically refers to the e-thesis that will be deposited into the University's Research Repository, rather than the examination version. The examination version is the complete version that is submitted and distributed to Examiners solely for the purpose of examination. The inclusion of copyright protected material for the examination version is covered by 'illustration for instruction' section 32 CDPA, which includes copying for examination and is subject to fair dealing. The e-thesis, deposited into the Research Repository, is not necessarily covered by this exception. Please consult the Copyright Advisors if you require more detailed information or see the Copyright Guidance website.

internal.lboro.ac.uk/info/library/copyright/

Copyright for published material will usually be held by the publisher or authors. The doctoral researcher is responsible for obtaining the necessary permission from the copyright owners to include the material in the thesis. Please check with the publisher and/or any copyright holders to ascertain which version of an article or book chapter is permitted to be included in the e-thesis; the version is usually either the author-created final version or the journal formatted version. For co-authored papers included, permission should be sought from co-authors, as well as the publisher, if appropriate. Even if the copyright has transferred to the publisher, it is good academic practice to make all contributors aware that the paper is going to be included in a thesis, although it is not necessary in copyright terms.

There is example wording for a publication request below and the doctoral researcher must keep a copy of the response granting this request.

Example wording for letter to a publisher:

Dear X, I am a doctoral researcher at Loughborough University, writing my PhD thesis by alternative format. I am the author of the following article(s) published by you and would like permission to include them in my e-thesis: [Insert full reference for the work/s]. The e-thesis will be made publicly available on the University's research repository. All works will be appropriately referenced within the thesis. Can you please let me know if it is possible to reproduce these articles in this way and if there are any conditions associated with their reuse?

Some publishers have a policy that specifically states that publishing as part of a PhD is not considered prior publication, but there are some exceptions. Doctoral researchers are advised to carefully consider including any pending publications in their thesis, and to inform the journal/book editor that a draft form of the text is included

in the thesis and that the e-thesis will be (or has been) made available on the publicly available University research repository. If the publishers are unwilling to publish work with this condition, it is possible to place restrictions on the availability of the e-thesis or on this section of the e-thesis on the research repository (e.g. a moratorium or embargo).

11 PRESENTATION OF SUBMISSION - DOCTOR OF ENGINEERING

11.1 Submission of Publications or Technical Reports

An electronic copy of the work must be submitted to the Doctoral College (Registry) for examination. The thesis must be written in English. Text should be 1 1/2 spaced on A4 format.

Hard copies may be exceptionally requested, but usually only when it is necessary as a reasonable adjustment for an examiner.

The publications and 20,000-word discourse should be presented in a quarto size format. The thesis must contain a statement indicating the author's responsibility for the work submitted, including the extent of their contribution of original work, and a complete thesis access conditions form which must be inserted into the front of each copy of the thesis and an electronic copy deposited in the University Library.

For a submission which is in conventional book form, hereafter referred to as 'the thesis', presentation should be as follows:

- The thesis may be initially submitted electronically.
- The individual publications should be presented in a consistent typed format and each publication should be preceded by a statement giving details of the date and location of publication.
- A research degree will not be awarded until an electronic copy of the final version of the thesis, as approved by the Examiners, has been deposited in the University Library with the Thesis Deposit Agreement.
- The pages are to be numbered consecutively; a table of contents and an abstract are to be included.
- The title page must take a form similar to that shown in Appendix V. This includes precise format of the © Notice to claim copyright protection in all countries which are signatories to the Universal Copyright Convention.
- In addition to the submitted work a signed certificate stating that neither the thesis nor the original work contained therein has been submitted to this or any other institution for a degree must be included.

11.2 Submission Length

The thesis should be presented in a satisfactory literary form (including references, notes and bibliography, as appropriate). The thesis shall be 80,000 words in length or shall contain at least three refereed publications (including at least one journal publication) or technical reports and a 20,000 word discourse. It is the responsibility of the author to check the submission for spelling and accuracy.

11.3 Submission of final electronic Copy

One electronic copy of the final version of the thesis, as approved by the Examiners, of the submission will be lodged with the University Library and access to it will be determined, initially by the classification assigned to the thesis on the access conditions form (see Appendix III and VI).

A research degree will not be awarded until an electronic copy of the final version of the thesis, as approved by the Examiners, has been deposited in the University Library together with a Thesis Deposit Agreement.

11.3.1 Standard Thesis Conditions

The standard thesis access conditions will apply as above.

12 PHD SUBMISSIONS BY PRACTICE – STAFF CANDIDATES

12.1 Guidelines

1. The general principles for any submission for a higher degree should apply, namely that the work should represent an original contribution to knowledge, should provide evidence of training in and the application of research methods appropriate to the field of study and should not have been presented for a higher award at another institution. In addition, the candidate should be able to demonstrate that she/he is well acquainted with the general field of knowledge to which the subject relates.
2. Practical output must demonstrably embody original research. Submissions by this route must show that they are subject to interrogation and critical review and demonstrate impact on or influence the work of peers, policy and the development of practice.
3. The research outcomes must form a coherent whole and relate to a common theme. The submission should be equivalent to one by research thesis.
4. A submission may take one of the following forms:
 - i. A minimum of eight presentations within the public domain would normally be expected for a PhD submission. For the purpose of these guidelines, by definition 'presentations' should include a full and comprehensive record of each outcome, contextual material, including published texts and, where necessary and appropriate additional explanatory material. An introductory chapter should accompany the sum of presentations. This chapter should be up to 6,000 words in length and should explain the common theme of the presentations; explain the methodology; explain the way in which the presentations embody original research; place the outcomes in a theoretical context provided by the wider literature and field; suggest what further work needs to be done and indicate the candidate's contribution to collaborative projects.
 - ii. A single outcome exhibited or otherwise presented within the public domain equivalent to a research monograph. An introductory text as outlined above, should accompany the outcome.
 - iii. A permanent record of the presentation(s) in an appropriate binding shall be submitted to the Doctoral College Office (Registry) and, following successful examination, shall be deposited in the University Library.

13 PRACTICE BASED RESEARCH DEGREES

13.1 Guidelines

1. A research degree submission with a practice element is designed to accommodate the idea that not all knowledge is best represented and communicated in written form. It will enable innovative practices of research and representation in doctoral work.
2. Subject to the agreement of the appropriate academic School, a candidate for the award of the degree of PhD or MPhil may submit a project on a single research topic that has two elements:
 - i. a written thesis and
 - ii. a substantial practical component. The practical work may take the form of creative output appropriate to the field of study, for example, artefacts, film, performance, photography. The research outcomes must form a coherent whole. Research proposals and the resources required to undertake the research shall be subject to careful review with the candidate at the outset of the research.
3. The general principles for any submission for a higher degree should apply. Accordingly, Examiners will assess all submissions in accordance with the criteria for the award of an MPhil or PhD set out in Regulation XXVI.
4. The written element of the submission is expected to be normally 40,000 words in length. Both written and practical elements together should address the research question, the methodology adopted, the critical and theoretical framework for the research and demonstrate original research, analytical skill and rigour. The specific model adopted for submission will refer to School guidelines and be subject to careful review.
5. This mode of submission would normally be appropriate in the School of Design and Creative Arts. It may also be appropriate in other subject areas. In all cases, however, the practical work must have been undertaken as part of the registered research programme.
6. The written and practical elements of the submission shall be submitted for examination in accordance with Regulation XXVI. Examiners will normally be required to attend a presentation in an appropriate form. Such presentations should normally be arranged to coincide with the oral examination or be made available in a recorded format at the oral examination.
7. A permanent record of the practical element of the thesis shall be deposited with the written thesis in the University Library. This record may consist of photographs, DVD or other audio-visual material. Examiners may require amendments or revisions to the written or practical element of the submission. In cases where the Examiners require amendments to the practical element of the submission, they should first be satisfied that their concerns cannot be addressed through amendments to the written element of the submission. Where this is not possible Examiners should consider whether an additional practical arrangement could be used to address any concerns rather than revise the original practical element.

14 PHD BY CREATIVE WRITING

14.1 Guidelines

The Creative Writing thesis should be designed to address an overarching research question, answering this partly through academic research, and partly through a creative component. The creative element could be a cycle of poems, novel, section of a novel, novella, play script, or collection of short stories. The word length of this section will normally be between 50,000 and 70,000 words, depending on the genre.

In addition, there should be an analytical element of 10,000 - 30,000 words. This should place the creative element in its academic and/or theoretical context, and show explicitly how the thesis as a whole leads to new substantially improved insights.

In all other respects, the thesis must conform to the same standards required for a conventional PhD submission. It should normally be no longer than 80,000 words in length, make an original contribution to knowledge, demonstrate appropriate research methods and training and be worthy of publication in whole or in part.

15 APPEALS

Given the existence of procedures for complaint and redress during the study period (which should normally be dealt with through the Director of Doctoral Programmes 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 to come to light until after the examination, in which case it may be considered under paragraph 15.1.

Paragraph 15 of Regulation XXVI lays down the procedure to be adopted for the filing and hearing of appeals. Whilst the Appeals Committee, constituted under Paragraph 15, is permitted to determine its own method of proceeding the following basic practices will be adopted:

- The appellant and the Director of Doctoral Programmes of the School or the Examiners whose decision is being questioned (the respondents), will be invited by the Committee to submit written statements on the subject of the appeal. The statements and any additional documents will be circulated to all those attending the hearing at least 5 working days prior to the hearing. Papers will be circulated after this period only with the permission of the Chair. Tabled papers will not be accepted.
- The appellant and the respondent will be invited by the Committee to appear before it, both to present their written submission and to be subjected to questioning by the Committee. The appellant may be accompanied by a friend of his/her own choosing.
- The hearing will be conducted as follows:
 - The Appellant and/or his/her friend presents the doctoral researcher's case for Appeal.
 - The respondent(s) will be invited to make a statement.
 - The Appeal Committee may ask questions of the Appellant and Respondent(s).
 - The Appellant/friend and Respondent(s) may ask questions through the Chair.
 - The Appellant will be given the opportunity to make a final statement.

- The Committee deliberates and reaches its decision in private (accompanied by its Secretary).
- Should the Committee wish to seek advice or information from an individual not present or to see documentation not circulated for the meeting it may decide to adjourn the meeting and meet again at a later date. However, this procedure will only be used when absolutely necessary to avoid prolonging the appeal process.
- The Committee may arrive at its decision by a simple majority. In the event of a tied vote the Chair may use a casting vote. If he/she chooses not to exercise his/her right to a casting vote, the Committee will inform the Academic Registrar of its inability to make a firm recommendation.
- The appellant and the respondent(s) will be informed of the Committee's decision which will then be communicated in writing to both parties without delay.

16 TRANSFER BETWEEN UNIVERSITIES

16.1 Transfer of doctoral researchers between Universities

The transfer of doctoral researchers between Universities is normally associated with the appointment of their primary Supervisor to another post.

There may, however, be other circumstances which make a transfer desirable or necessary. In any case the circumstances surrounding any transfers should be made clear at the outset.

There are no nationally agreed protocols for the transfer of doctoral researchers. Each University may therefore have procedures which cannot be covered in this document.

16.2 Transfers from Loughborough University

Where a member of staff responsible for the supervision of doctoral researchers is appointed to another University the doctoral researchers' position must be addressed at the earliest opportunity. The Doctoral College Office should be notified at the outset of any discussions.

It will be the responsibility of the Director of Doctoral Programmes of the School, in consultation with the departing Supervisor, to discuss with the doctoral researcher as to their wish either to remain at Loughborough University, potentially with the second supervisor becoming primary supervisor and a new Secondary supervisor being appointed or to transfer.

It will be the departing Supervisor's responsibility to liaise with the receiving University as to their terms and for agreeing a transfer. Any supporting documentation will be supplied by the Doctoral College Office on request. The receiving University will be asked to supply written confirmation that the doctoral researcher has been accepted.

It will be the departing Supervisor's responsibility to liaise any external body which is sponsoring the doctoral researcher's research regarding transferring registration and funding to another institution. Particular attention should be paid to any additional fee charges which might be incurred. All agreements with sponsoring bodies should be obtained in writing.

Where a doctoral researcher is being funded from University funds such funding will not transfer with the doctoral researcher. Where a doctoral researcher is being funded from a research contract the advice of the Finance Office on the contractual arrangements should be sought at an early stage.

International doctoral researchers with student visas will need to apply for permission to study at the new institution and must not transfer until the appropriate arrangements have been set in train. They should seek advice from the Student Advice Centre and keep the Doctoral College Office informed.

The transfer of any doctoral researchers will be subject to the agreement of the Dean of School. Where a doctoral researcher is unwilling or unable to transfer to another institution, the School should make every possible attempt to appoint a replacement Supervisor within or outside the School. The particular funding arrangements will require individual negotiation.

If a doctoral researcher wishes to initiate a transfer for an acceptable reason other than accompanying their Supervisor, then every effort should be made by the School in conjunction with the Doctoral College Office to assist them in accomplishing the above procedures. In case of difficulties doctoral researchers should be referred to the Doctoral College Office.

16.3 Transfers to Loughborough University

All transfers to the University involving credit for research commenced elsewhere will be subject to the approval of the Director of Doctoral programmes in the appropriate School. It will be expected that research training has been accomplished otherwise this will be required.

Candidates must be in a position to register for a minimum of 12 months and pay fees in order to be eligible to register for a degree. A secondary supervisor and Independent Reviewer should be identified as part of the consideration of the transfer.

The Doctoral College Office should be alerted at an early stage of any potential transfer.

The following documentation must be provided by the incoming Supervisor or by the doctoral researcher if they are not transferring with a Supervisor:

- A completed research application form.
- The written agreement of the sponsoring body to a transfer.
- A statement from the host University that progress has been satisfactory, confirmation of the periods of registration, confirmation of the degree registered for and that all fees have been paid.
- If a doctoral researcher is transferring for reasons other than joining a Supervisor, the circumstances should be made clear.

An application form must be submitted to the School and subject to their agreement, the case will be made to the Associate Pro Vice-Chancellor (Doctoral College) via the Doctoral College Office. Once the case for credit transfer has been approved a formal offer will be issued.

17 APPENDICES

Appendix I

[University Ordinance XXXIX \(Ownership and Commercial Exploitation of Intellectual Property\)](#)

Appendix II

[University Regulation XVI - Tuition Fees and Payments for Other University Services](#)

Appendix III

Format for the Frontispiece of Theses, Dissertations and Project Reports

The frontispiece of your submission should take the form of the specimen shown below. Your submission should be identified by indicating that it is, for example, 'A Doctoral Thesis' or 'A Master's Thesis'. The © notice is necessary to claim copyright in the countries signatory to the Universal Copyright Convention.

(Title)

.....

by

(author's name)

(a) Master's or Doctoral [(b) Thesis] to be inserted

Submitted in partial fulfilment of the requirements

for the award of

.....of Loughborough University

(date)

© by (author's name) (year)

Appendix IV

[Thesis Access Form \(Academic Registry Template Shop\)](#)