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Regulations for Higher Degrees by Research

1. The University confers the following higher degrees by research:

- Master of Philosophy – MPhil.
- Doctor of Philosophy – PhD.
- Engineering Doctorate – EngD.

2. The following persons may submit for higher degrees of the University subject to these Regulations:

- (i) eligible Research Students
- (ii) staff of at least five years' standing, subject to the provisions of para 3.1 hereof
- (iii) graduates of the University or Diplomates of the former Loughborough College of Technology.

3. Research Students – Qualifications

3.1 To be registered as a Research Student a candidate must possess one of the following qualifications:

- a degree of a university in the United Kingdom or the Republic of Ireland;
- a degree awarded by the former C.N.A.A.;
- a Diploma in Technology awarded by the former N.C.T.A.;
- a Diploma with Honours of the former Loughborough College of Technology;
- the academic requirements for corporate membership of a British Chartered professional institution previously approved for this purpose by Senate on the recommendation of a Faculty Board;
- any other qualification approved by a Faculty Board.

3.2 Candidates whose first language is not English, and whose degree studies have not been conducted and examined in English, must possess G.C.S.E. English language or Use of English; alternatively, they may offer the University Test in English (J.M.B.) or the Proficiency in English Examination (Cambridge) or other qualifications acceptable to the University.

3.3 Any candidate may be required by a Faculty Board, prior to registration, to pass written and/or oral examinations set at first degree level which may be preceded by a preliminary course of study. (Remade June 2005)

4. Research Students – Registration

4.1 Every registration shall be made on the recommendation of the Head of the appropriate Department or their nominee. A student will be registered for the degree of Master of Philosophy in the first instance, except that a student may be permitted to register for the degree of Doctor of Philosophy if he/she already holds a postgraduate degree of a university in the United Kingdom, or the Republic of Ireland or the former C.N.A.A. or such other degree awarding body it recognises as equivalent for the purpose. The Department shall appoint a Director of Research and Supervisor or Supervisors on the recommendation of the Head of the appropriate Department or their nominee. A member of staff may not act as both Director of Research and Supervisor for the same student.

4.2 Candidates' registrations shall take effect from four dates annually namely: 1 October, 1 December, 1 April and 1 July. Candidates shall normally be registered from the nearest date to their arrival in the University. Only in exceptional circumstances may a Research Student's registration be backdated by a maximum of four months.

- 4.3** A Research Student shall attend such lectures and seminars as may be required by the University in the exercise of its responsibilities under the Health and Safety at Work Act 1974. The student shall undertake such research training as may be prescribed by the Faculty Board under which he/she is registered and to attend such lectures, seminars and to take such examinations as his/her Director of Research may require.
- 4.4** Students aiming to submit for the degree of MPhil shall normally be registered for a minimum period of 2 years full-time or 3 years part-time. Students aiming to submit for the degree of PhD shall normally be registered for 3 years full-time or 5 years part-time. Students will be required to re-register annually and re-registration will be subject to satisfactory academic progress. Progress during the first 12 months of registration will be assessed through the submission to the Director of Research of a report from a full-time student of the order of 10,000 words on the research to date. Part-time students will be required to produce a report of the order of 5,000 words on the research to date and a report of the order of 10,000 words at the point of transfer from MPhil to PhD. A Director of Research may transfer a student's registration for the degree of Master of Philosophy to a registration for the degree of Doctor of Philosophy at, or anytime after, a student's first 12 months but not less than six months before submission of a thesis for PhD, subject to the student having satisfactorily completed such research training as may be prescribed by the Faculty Board under which he/she is registered. Students shall receive a written report on their progress from their department on an annual basis.
- 4.5** The Director of Research may recommend that registration of a research student be terminated on the grounds of unsatisfactory progress. Such students have the right of appeal in accordance with paragraph 16.11 of these Regulations.
- Research students are required to re-register not later than one month after the date of expiry of their previous year of registration. Students who fail to re-register within one month without good reason will be charged a late registration fee.

5. Research Students – Eligibility to Submit for a Higher Degree

5.1 Degree of Master of Philosophy

Any Research Student who has been registered for 2 years full-time or 3 years part-time is eligible, subject to the provision of paragraph 5.3, to submit a thesis for the degree of Master of Philosophy. However, an MPhil student may submit their thesis up to 12 months early with the permission of their Supervisor and Director of Research.

5.2 Degree of Doctor of Philosophy

Any Research Student who is registered for the degree of Doctor of Philosophy is eligible, subject to the provisions of paragraph 5.3, to submit a thesis for the Degree of Doctor of Philosophy after 3 years full-time or 5 years part-time registration. However, a PhD student may submit their thesis up to 12 months early with the permission of their Supervisor and Director of Research.

5.3 Submission of Theses

(i) Full-Time Research Students

All full-time research students shall submit their theses within four years from the date of their initial registration. Following completion of the agreed period of registration for their degree as set out in paragraph 4.4 above, candidates shall normally be permitted to register with the University for a further 12 months period to confirm that they still intend to submit a research thesis. Such candidates shall pay a fee at a level to be determined by Council.

Candidates failing to submit their theses within the prescribed period from the date of their initial registration shall require permission from the Faculty Board in order to submit their thesis late. Such permission shall only be granted in exceptional circumstances. Candidates shall apply to the Board at any time in the six months immediately preceding the completion of the prescribed period. If such permission is granted the candidate shall have a maximum period of twelve

months commencing from the end of the prescribed period in which to submit the thesis. The candidate shall be required to pay a fee throughout this period in addition to a late submission fee at a level to be determined by Council.

(ii) Part-time Students

All part-time students shall normally submit their theses within two years of completing the standard period of registration for their degree as set out in paragraph 4.4 above. After completion of their active research they shall continue to register annually with the University to confirm that they still intend to submit a research thesis. Candidates shall pay a fee at a level to be determined by Council.

Candidates failing to submit within two years of completing their standard period of registration shall require permission from the Faculty Board to submit their thesis late. Such permission shall only be granted in exceptional circumstances. Candidates shall apply to the Board at any time in the six months immediately preceding the completion of the two year period. If such permission is granted the candidate shall have a maximum period of twelve months commencing from the end of the two year period in which to submit the thesis. The candidate shall be required to pay a fee throughout this period in addition to a late submission fee at a level to be determined by Council.

6. Academic and Equivalent Staff

Any member of the University staff of at least five years' standing, subject to the provisions of paragraph 3.1 of the Regulations for Higher Degrees by Research, may subject to the agreement of their Head of Department register for a higher degree of the University by research thesis, published work or other academic output which must all relate to a common field. Candidates registering in accordance with the provisions of this paragraph shall not be subject to the standard periods of registration prescribed in the regulations, except that they shall be registered for a minimum period of twelve months, whether submitting for a higher degree by research or publication or other academic output. All candidates shall have a Supervisor and a Director of Research. Candidates submitting for an award by publications shall pay an examination fee at a level determined by Council. All other candidates shall pay a tuition fee.

7. Graduates or Diplomates

Any graduate of the University or honours diplomate of the former Loughborough College of Technology may notify the Faculty Board of their wish to submit for a higher degree of the University published work which must all relate to a common field. Any such graduates must be of at least four years' standing beyond the Bachelor's degree before notifying the Board of their wish to submit for the degree of Master of Philosophy and of at least eight years' standing before notifying the Board of their wish to submit for the degree of Doctor of Philosophy. Master's graduates must be of four years' standing before notifying the Board of their wish to submit for the degree of Doctor of Philosophy. The Faculty Board shall appoint a Director of Research whose responsibility it shall be to apply to the Faculty Board for permission to submit. The candidate shall pay an examination fee at a level to be determined by Council. A graduate of the University wishing to submit for a higher degree of the University by thesis shall register as a research student and pay a tuition fee. Candidates registering in accordance with the provisions of this paragraph shall not be subject to the minimum and maximum periods of registration prescribed in the regulations except that they shall be registered for a minimum period of twelve months, whether submitting for a higher degree by research or publications.

8. Examiners

- 8.1** When a person eligible under paragraph 5 has notified his/her intention to submit a thesis, the Faculty Board shall appoint Examiners. For the degree of Master of Philosophy or the degree of Doctor of Philosophy not fewer than two Examiners shall be appointed of whom at least one shall be an External Examiner who has had no supervisory relationship with the candidate. A candidate's Supervisor may not act as his/her Internal Examiner. A Supervisor may attend the viva voce examination as an Observer unless the student objects to the presence of the Supervisor.
- 8.2** When a person under paragraph 6 or paragraph 7 has been given permission to submit for a degree of Master of Philosophy or the degree of Doctor of Philosophy the Faculty Board shall appoint two External Examiners and a member of Senate as an Observer.

9. Academic Misconduct

- 9.1** Adherence to the Notes for the Guidance of Research Students, Directors of Research, Supervisors and Examiners will normally ensure that academic misconduct such as plagiarism or the fabrication or falsification of results is avoided. However, any circumstances which come to light following the submission of work for a higher degree to suggest that academic misconduct has taken place shall be reported in writing immediately to the Associate Dean (Research) of the Faculty in which the candidate is registered.
- 9.2** The Associate Dean (Research) shall thereupon investigate and decide in consultation with the Academic Registrar whether there is prima facie a case for the candidate to answer. If the Associate Dean (Research) decides there is not prima facie a case to answer, the matter shall proceed no further. If the Associate Dean (Research) decides that there is prima facie a case to answer, the evidence shall be referred without delay to an independent panel for further assessment.
- 9.3** The panel shall comprise:
Pro-Vice-Chancellor (Research) or nominee (convenor)
Two Professors who had no academic involvement with the candidate involved and are members of departments other than the candidate's own, nominated by the Pro-Vice-Chancellor (Research).
- 9.4** The panel may adopt any method of procedure which it considers appropriate to the circumstances of the case. The candidate shall be sent a statement of the alleged academic misconduct. If the candidate should wish to offer a defence to the allegation he/she shall state in writing to the Academic Registrar within 28 days of the notification of alleged misconduct the grounds of the defence. The panel shall seek advice from the candidate's supervisor and Director of Research and may call upon other persons to present evidence. The panel shall determine whether, in its view, there is a case to answer and shall advise the Academic Registrar in writing of its decision at the earliest opportunity.
- 9.5** If the panel decides that there is not a case to answer, no further action shall be taken. If the panel decides that there is a case to answer, it shall provide a written statement of the alleged academic misconduct in a form suitable for transmission to the candidate.
- 9.6** The panel shall determine whether to forward the statement of the alleged academic misconduct and any written defence that may have been received to the Examiners. Unless the matter is referred to the Examiners in this way, no further action shall be taken against the candidate. If the panel refers the matter to the Examiners, the Examiners shall take account of all the written evidence in reaching their decision on the submitted work.
- 9.7** On the occasion of the oral examination, the Examiners shall afford the candidate an opportunity to be heard on the subject of the alleged academic misconduct.

- 9.8** The normal range of decisions shall be available to the Examiners in accordance with paragraph 11 of these Regulations and they shall reach their decision having regard to all the circumstances, except that:
- If the Examiners find significant misconduct to be proven, together with an attempt to deceive, the Examiners shall fail the candidate and recommend to the Faculty Board that the candidate's studies be terminated.
 - If the Examiners determine minor and/or inadvertent academic misconduct the Examiners shall refer the submission and shall invite the candidate to resubmit the work when it has been appropriately revised. Only in exceptional circumstances would the Examiners' decision be that the candidate pass without the requirement for resubmission.

10. Examination

- 10.1** For the degree of Master of Philosophy the basis of the assessment shall be submitted work (except as provided for in paragraphs 6 and 7) in conjunction with an oral examination.
- 10.2** For the degree of PhD., the basis of assessment shall be submitted work (except as provided for in paras. 6 and 7) in conjunction with an oral examination.
- 10.3** Attendance at an oral examination by the candidate for a higher degree may be waived only by the Vice-Chancellor on the recommendation of the Faculty Board with the advice of the candidate's Director of Research. In the case where attendance at the oral examination is waived a second or third External Examiner shall be appointed as considered appropriate.

11. Recommendations of Examiners

- 11.1** The decision of the Examiners shall be one of the following:
- Pass (with corrections permitted or required should the need arise)
 - Refer
 - Fail

The Examiners may also decide that work submitted for the degree of PhD. is suitable for the degree of Master of Philosophy with or without corrections.

Where the Examiners require corrections to be made to a thesis prior to the award of a degree, such corrections must be carried out, to the satisfaction of the Examiners, within three months of the candidate being informed of the necessary corrections, or such longer period as may be determined by the Examiners.

- 11.2** In the case of minor corrections the Internal Examiner will be responsible for confirming to the Research Student Office that the corrections have been satisfactorily accomplished.
- 11.3** In any case in which the Examiners' decision is "Refer" the same Examiners wherever possible shall conduct the re-examination. Examiners will be required to submit a joint report to the Research Student Office following the re-examination.
- 11.4** The decision of the Examiners shall be reported and their report made available to the Faculty Board, and the Faculty Board, having considered the decision of the Examiners, shall award the degree, if any, recommended by the Examiners except as provided in para. 11.9 hereof.
- 11.5** In any case where the Examiners are unable to agree upon their decision, an additional (External) Examiner shall be appointed whose decision shall be final. Where that decision is 'refer', the examination of the referred thesis shall be conducted wherever possible by all the appointed examiners.

- 11.6** A candidate for whom the Examiners' decision is "Refer" may resubmit within a period and subject to any conditions which may be determined by the Examiners. The resubmission period will be within 12 months. The resubmission date will be notified to the student by the Research Student Office.
- 11.7** The Examiners may refer a candidate's research degree submission on one occasion only, except where the examination has been made void following an Appeal or exceptionally where new matters have come to the Examiners' attention which they were previously unaware of.
- 11.8** In the event that a candidate whose thesis has been referred is required to attend a further oral examination, or where a candidate is required to attend a further oral examination following an appeal in accordance with paragraph 16.9, an independent non-examining chair of the viva panel shall be appointed.
- 11.9** In the case of a candidate submitting for the degree of PhD who satisfied the requirements for the degree of Master of Philosophy only, the Faculty Board or Senate shall not award the degree of Master of Philosophy unless the candidate shall have agreed in writing that such an award is acceptable. If the candidate does not accept the award of the degree of Master of Philosophy he/she shall be held to have failed and the candidate may exercise the right of appeal against the decision of the examiners as provided in paragraph 16 hereof. However, should the Appeal body reject the appeal, the candidate shall still be eligible for the award of the degree of Master of Philosophy should he/she wish to accept it after the outcome of the appeal is known.

12. Unsuccessful Candidates

- 12.1** Any candidate submitting for a higher degree for whom the Examiners' decision is "Fail" shall not thereby be prevented from registering anew under these Regulations, except where the Examiners have found significant academic misconduct to be proven. In which case registering anew will not be permitted. Any candidate submitting under para. 6 or para. 7 of these Regulations for whom the Examiners' decision is "Fail" may not resubmit for a higher degree within a period of two years from the date of examination nor at any time where the Examiners have found significant academic misconduct to be proven.

13. Location of Research

- 13.1** Research shall normally be carried out in the University, but a Faculty Board at its discretion may approve arrangements for a programme of research principally located other than in the University provided that the Faculty Board is satisfied:
- (i) that proper arrangements have been made for supervision
 - (ii) that the proposed subject of the research is appropriate to and in the interests of the University
 - (iii) that it is necessary for the research to be carried out in the locations specified in the proposed arrangements rather than in the University.
- 13.2** All candidates shall be required to attend the University for such periods and on such occasions as the appropriate Faculty Board shall specify.
- 13.3** A candidate who is undertaking the major part of his/her research outside the University but who is receiving the major part of his/her supervision from the Academic Staff of the University may be registered as a full-time student.

14. Submitted Work

- 14.1** Submitted work for a higher degree of the University must be submitted in the form specified by the University in the Notes for the Guidance of Research Students, Directors of Research, Supervisors and Examiners and subject to Ordinance XXXIX. Each candidate must certify in writing the extent to which the submission is his/her own work and in each case in which there has been co-operative effort the nature and extent of that effort must be fully specified.
- 14.2** The candidate must certify that neither the submission nor the original work contained therein has been submitted for an award of this or any other university or the former C.N.A.A.
- 14.3** Any submission subsequently published must include a statement that it has been submitted for a higher degree of the University.
- 14.4** Three copies of the thesis bound in temporary format must initially be submitted for examination. Following successful examination two copies of the thesis bound in permanent format must be submitted, one copy will be deposited with the University Library and the second copy deposited with the Departmental collection.
- 14.5** The University reserves the right to determine the access classification of a submission which will normally be "open". If access is restricted for any reason a moratorium period will be specified on the Access Conditions Form bound into the front of each copy.

15. Language of Theses

Students registered for a MPhil or PhD in a Department responsible for the teaching of foreign languages may, with the approval of the Head of Department, submit their work in English or in one of the languages taught in the Department. Full-time MPhil students who intend to submit their work at the end of the first year following initial registration and who wish to submit their work in a language other than English, must request the Head of Department's approval of the proposed choice of language not more than six months after initial registration. The Head of Department will approve or reject the request in writing normally within one month of its receipt. All other students registered for a higher degree by research wishing to submit their work in a language other than English must request permission to do so when submitting their 10,000-word report (in the case of full-time students) or 5,000-word report (in the case of part-time students) at the end of their first year of registration. The Head of Department will approve or refuse such a request in writing after consulting with the Director of Research. When such a request has been approved, the work must normally be submitted in the language concerned. Only in exceptional circumstances, and with the written approval of the Head of Department, may a change be made. When the work is submitted in a language other than English and a viva-voce examination is held, the viva-voce examination may be conducted in that language or in English. The language in which the viva-voce is to be held will be specified in writing when the External Examiner is appointed, and the student will be notified accordingly.

16. Appeals

- 16.1** A Research Student (including a candidate submitting under either Paragraph 6 or 7 of these Regulations) for whom the Examiners' decision is 'fail' may lodge a written appeal with the Academic Registrar within fourteen days of being informed of the result of the examination. The grounds for such an appeal shall be set out in writing and shall be confined to one or more of the following:
- (i) that there existed at the time of the examination circumstances affecting the student's performance of which the examiners had not been made aware when their decision was taken;
 - (ii) that there were procedural irregularities in the conduct of the examination of such a nature as to cause reasonable doubt as to whether the examiners would have reached the same conclusion had they not occurred;
 - (iii) that there is evidence of prejudice or of bias against the candidate or of inadequate assessment on the part of one or more of the examiners.

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- 16.2** A student who wishes to lodge an appeal in accordance with paragraph 16.1 of the Regulations for Higher Degree by Research, on the basis of retrospective medical grounds, will be required to provide written medical evidence.
- 16.3** Given the existence of procedures for complaint and redress during the study period (which should normally be dealt with through the Director of Research as and when they arise), alleged inadequacy of supervisory or other arrangements during the period of study should not constitute grounds for an appeal unless there are exceptional reasons for it not having come to light until after the examination, in which case it may be considered under paragraph 16.1.
- 16.4** The Vice-Chancellor or failing him/her a Pro-Vice-Chancellor shall nominate an appeal body to consider such appeals which shall be constituted as follows:
- A Pro-Vice-Chancellor or a Dean or an Associate Dean (Research) (Chair) The Chair of the Appeal Panel shall be from a Faculty other than the one in which the student is registered.
 - 2 Professors (at least one of whom shall be a member of Senate)
 - 1 member of Senate (not being a Professor or a student)
- 16.5** No member of the University shall be appointed to membership of the appeal body who has been involved in the examination or had any supervisory relationship with the student, nor is a member of the department in which the student is registered. No Department may have more than one of its members on the appeal body.
- 16.6** An appellant shall have the right to appear in person before the appeal body and may be accompanied by a person of his/her own choosing.
- 16.7** The appeal body shall determine its own procedure within the framework set out in the Notes for Guidance and may take such advice as it considers appropriate.
- 16.8** The appeal body shall have power either to reject the appeal, in which case the examiners' decision shall be final, or to determine which of the following courses of action shall be taken:
- (i) in cases where the appeal is based on either of the grounds stated in 16.1(i) or 16.1(ii) above the appeal body shall be empowered
 - to direct the Examiners to re-consider their decision for the reasons stated and to report their decision to the appeal body which shall then determine the appeal in the light of such re-consideration; and/or
 - to give the student permission to revise the thesis and re-submit for re-examination by the Examiners within a time limit specified by the appeal body; and/or
 - to annul the examination and direct that a fresh examination be conducted.
 - (ii) in cases where the appeal is based on the grounds stated in 16.1(iii) above, the appeal body shall be empowered to direct that the thesis shall be re-examined.
- 16.9** Where re-examination under 16.8(i)(c) or 16.8(ii) is determined, Senate shall appoint new examiners, in number no fewer than the original examiners and containing at least two external examiners. The new examiners shall be given no information about the previous examination except that they are conducting a re-examination on appeal. They shall be required to submit independent reports on the thesis before conducting the oral examination and a joint report after the oral examination.
- 16.10** The decision of the new examiners shall be reported and their report made available to Senate and Senate, having considered the decision of the new examiners, shall award the degree, if any, recommended by the new examiners except as provided in para. 11.9 above.

16.11 Termination of Registration

An Appeal Body shall be nominated in accordance with the arrangements in paragraphs 16.4 and 16.5. A student wishing to exercise his/her right of appeal under paragraph 4.5 of these Regulations must lodge his/her appeal in writing (within fourteen days of receiving notice in writing of the decision by his/her Director of Research against which he/she is intending to appeal) with the Academic Registrar or his/her nominee. Any appeal shall be heard by the Appeal Body as soon as is convenient, and in any case normally not later than 28 days after the lodging of the appeal. The Appeal Body shall determine its own method of proceeding within the framework set out in the Notes for Guidance of Students, Directors of Research, Supervisors and Examiners.

**17. Regulations for the Degree of Doctor of Engineering (EngD)
(for candidates registering prior to October 2006)**

- 17.1** Candidates registering for the degree of Doctor of Engineering must possess at least an upper second class honours degree, or equivalent qualification and professional experience.
- 17.2** Candidates shall be required to pursue an approved full time programme of study and research extending over a maximum period of four years. This period of study may be reduced at the discretion of the Director of the EngD Centre where a candidate already possesses an appropriate MSc or industrial experience. Such candidates shall also be exempt from undertaking specified modules.
- 17.3** Eligible candidates shall submit for the EngD within a minimum of 3 years and 6 months and a maximum of 4 years and 6 months of initial registration.
- 17.4** Candidates shall be registered at the outset by the Faculty Board for the degree of EngD. Registration shall normally be with effect from 1 October.
- 17.5** Programme Regulations shall be published for the curriculum-based element of the EngD which shall include a listing of the constituent modules. Module specifications shall be published for each module in accordance with the provision of Regulation XXI.
- 17.6** Candidates are required to register for modules with a maximum total modular weighting of 180 within a period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 17.2 of these Regulations.
- 17.7** All candidates shall register at the beginning of their programme and subsequently at the beginning of each academic year for the modules which they are taking in that year, subject to their satisfactory progress in research and the extension of their registration for the Degree of EngD in accordance with para. 4.4 of the Regulations for Higher Degrees by Research. Candidates are not eligible to register for modules whilst they remain in debt to the University.
- 17.8** The curriculum-based element of the EngD programme including the project module shall be assessed in accordance with the procedures set out in Regulation XXI.
- 17.9** An External Programme Assessor shall be appointed for the curriculum-based element of the EngD programme in accordance with Regulation XXII.
- 17.10** There shall be a Programme Board for the curriculum-based element of the EngD programme which shall meet for the purpose of awarding the Degree of Master or the Postgraduate Diploma or the Postgraduate Certificate and which shall exercise the other powers of a Programme Board described in Regulation XXI.

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- 17.11** Candidates will be eligible to progress on the EngD programme when they have accumulated 180 credits from the curriculum-based element within the maximum period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 17.2 of these Regulations.
- 17.12** Candidates who accumulate sufficient credit in accordance with the requirements of Regulation XXI and the appropriate Programme Regulations shall also be eligible for the award of MSc.
- 17.13** Candidates not meeting the above requirements, or whose registration for the Degree of EngD has not been extended because of unsatisfactory progress in research, but who accumulate 100 credits and obtain marks of 40% in further modules with a weight of 20 shall be eligible for the award of the Postgraduate Diploma. Candidates who accumulate 60 credits shall be eligible for the award of Postgraduate Certificate.
- 17.14** The Degree of Master of Science, Postgraduate Diploma and and Postgraduate Certificate shall be awarded in a named subject listed in the Programme Regulations. In each instance, the subject shall be determined by the Programme Board in the light of the selection of modules taken by the individual candidate.
- 17.15** Candidates who have satisfied the requirements for the award of the Degree of Master of Science may be awarded the degree with Distinction in accordance with the scheme set out in Regulation XXI.
- 17.16** The Faculty Board shall appoint for each candidate an industrial supervisor and an industry-based project Co-ordinator in addition to a supervisor who is a member of the academic staff at the University and a Director of Research.
- 17.17** Candidates shall re-register annually on the recommendation of the Director of Research. Re-registration will depend upon satisfactory performance in research and taught modules. In research satisfactory progress will depend upon the assessment of annual research reports submitted by the candidate of not less than 5000 words or its adjudged equivalent. Assessment shall be undertaken by someone other than the candidate's Supervisor or Director of Research and shall include an oral examination.
- 17.18** Throughout the programme of study candidates shall undertake a research project or series of research projects. Candidates shall normally spend a significant amount of time working on the project(s) in a participating engineering company or companies.
- 17.19** Lack of satisfactory progress in either the curriculum based element of the programme or the research project will mean that the candidate will not be permitted to continue to pursue the programme of study. At the end of year 2 the Programme Board shall consider the progress of candidates on the basis of their performance in the curriculum based element and research element of the programme and the candidates shall either:
- 17.19.1** be permitted to continue with EngD programme;
OR
- 17.19.2** be permitted to proceed with EngD programme AND be awarded an appropriate MSc/Postgraduate Diploma/Postgraduate Certificate as defined in Programme Regulations;
OR
- 17.19.3** be required to withdraw from the EngD;
OR
- 17.19.4** be required to withdraw from the EngD but be permitted to re-submit the dissertation within a prescribed period for the award of an appropriate MSc;
OR

- 17.19.5** be required to withdraw from the EngD but be awarded an appropriate Postgraduate Diploma/Postgraduate Certificate. This applies where a candidate has not completed the dissertation requirements for the award of an MSc;
OR
- 17.19.6** be required to withdraw from the EngD but be encouraged to register for the degree of Master of Philosophy.
- 17.20** For the degree of EngD the basis of assessment, following satisfactory completion of the curriculum-based element, shall be a collection of published papers and a discourse of no more than 20,000 words setting out the aims, objectives, findings and industrial relevance/impact of the research work undertaken. The submission shall include a minimum of 3 published (peer reviewed) papers or papers accepted for publication, of which at least one should be in an appropriate engineering journal. Where the research programme is subject to a confidentiality agreement entered into by the participating company at the outset of the programme, technical reports should be included in lieu of published papers. Such technical reports shall have been subject to external assessment.
- 17.21** When an eligible candidate has notified his/her intention to make a submission the Faculty Board shall appoint examiners. There shall be a least two external examiners in addition to the internal examiner.
- 17.22** In order to be eligible for the award of the degree of Doctor of Engineering, candidates must demonstrate innovation in the application of knowledge to the engineering business environment. In addition they must demonstrate the following competences:
- (i) Expert knowledge of an engineering area;
 - (ii) The appreciation of industrial engineering and development culture;
 - (iii) Project and programme management skills;
 - (iv) Teamwork and leadership skills;
 - (v) Oral and written communication skills;
 - (vi) Technical organisational skills;
 - (vii) Financial engineering project planning and control;
 - (viii) The ability to apply their skills to new and unusual situations;
 - (ix) The ability to seek optimal, viable solutions to multi-faceted engineering problems and to search out relevant information sources.
- For all candidates registered for the award of EngD competences iii-ix will be demonstrated by successful completion of compulsory taught modules in Management and Professional Development undertaken during the curriculum-based component of the programme.
- 17.23** The term research student shall be taken to apply to all Research Engineers registered on the EngD programme. The provisions of the Regulations for Higher Degrees by Research shall apply to all candidates except as provided for in the foregoing paragraphs.

**17. Regulations for the Degree of Doctor of Engineering (EngD)
(for candidates registering on or after 1 October 2006)**

- 17.1** Candidates registering for the degree of Doctor of Engineering must possess at least an upper second class honours degree, or equivalent qualification and professional experience.
- 17.2** Candidates shall be required to pursue an approved full time programme of study and research extending over a maximum period of four years. This period of study may be reduced at the discretion of the Director of the EngD Centre where a candidate already possesses an appropriate MSc or industrial experience. Such candidates shall also be exempt from undertaking specified modules. The taught element of the programme will not lead to the award of a separate taught qualification except when a candidate withdraws or is required to withdraw

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from the programme prior to the successful completion of the research element of the programme and has obtained sufficient modular credit to enable a taught qualification to be awarded.

- 17.3** Eligible candidates shall submit for the EngD within a minimum of 3 years and 6 months and a maximum of 4 years and 6 months of initial registration.
- 17.4** Candidates shall be registered at the outset by the Faculty Board for the degree of EngD. Registration shall normally be with effect from 1 October.
- 17.5** Programme Regulations shall be published for the curriculum-based element of the EngD which shall include a listing of the constituent modules. Module specifications shall be published for each module in accordance with the provision of Regulation XXI.
- 17.6** Candidates are required to register for modules with a maximum total modular weighting of 180 within a period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 17.2 of these Regulations.
- 17.7** All candidates shall register at the beginning of their programme and subsequently at the beginning of each academic year for the modules which they are taking in that year, subject to their satisfactory progress in research and the extension of their registration for the Degree of EngD in accordance with para. 4.4 of the Regulations for Higher Degrees by Research. Candidates are not eligible to register for modules whilst they remain in debt to the University.
- 17.8** The curriculum-based element of the EngD programme including the project module shall be assessed in accordance with the procedures set out in Regulation XXI.
- 17.9** An External Programme Assessor shall be appointed for the curriculum-based element of the EngD programme in accordance with Regulation XXII.
- 17.10** There shall be a Programme Board for the curriculum-based element of the EngD programme which shall meet for the purpose of awarding the Degree of Master or the Postgraduate Diploma or the Postgraduate Certificate and which shall exercise the other powers of a Programme Board described in Regulation XXI.
- 17.11** Candidates will be eligible to progress on the EngD programme when they have accumulated 180 credits from the curriculum-based element within the maximum period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 17.2 of these Regulations.
- 17.12** Subject to the provisions of paragraph 17.2, candidates who accumulate sufficient credit in accordance with the requirements of Regulation XXI and the appropriate Programme Regulations shall also be eligible for the award of MSc.
- 17.13** Subject to the provisions of paragraph 17.2, candidates not meeting the above requirements, or whose registration for the Degree of EngD has not been extended because of unsatisfactory progress in research, but who accumulate 100 credits and obtain marks of 40% in further modules with a weight of 20 shall be eligible for the award of the Postgraduate Diploma. Candidates who accumulate 60 credits shall be eligible for the award of Postgraduate Certificate.
- 17.14** The Degree of Master of Science, Postgraduate Diploma and and Postgraduate Certificate shall be awarded in a named subject listed in the Programme Regulations. In each instance, the subject shall be determined by the Programme Board in the light of the selection of modules taken by the individual candidate.

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- 17.15** Candidates who have satisfied the requirements for the award of the Degree of Master of Science may be awarded the degree with Distinction in accordance with the scheme set out in Regulation XXI.
- 17.16** The Faculty Board shall appoint for each candidate an industrial supervisor and an industry-based project Co-ordinator in addition to a supervisor who is a member of the academic staff at the University and a Director of Research.
- 17.17** Candidates shall re-register annually on the recommendation of the Director of Research. Re-registration will depend upon satisfactory performance in research and taught modules. In research satisfactory progress will depend upon the assessment of annual research reports submitted by the candidate of not less than 5000 words or its adjudged equivalent. Assessment shall be undertaken by someone other than the candidate's Supervisor or Director of Research and shall include an oral examination.
- 17.18** Throughout the programme of study candidates shall undertake a research project or series of research projects. Candidates shall normally spend a significant amount of time working on the project(s) in a participating engineering company or companies.
- 17.19** Lack of satisfactory progress in either the curriculum based element of the programme or the research project will mean that the candidate will not be permitted to continue to pursue the programme of study. At the end of year 2 the Programme Board shall consider the progress of candidates on the basis of their performance in the curriculum based element and research element of the programme and the candidates shall either:
- 17.19.1** be permitted to continue with EngD programme;
OR
- 17.19.2** be required to withdraw from the EngD;
OR
- 17.19.3** be required to withdraw from the EngD but be awarded an MSc or be permitted to re-submit the dissertation within a prescribed period for the award of an appropriate MSc;
OR
- 17.19.4** be required to withdraw from the EngD but be awarded an appropriate Postgraduate Diploma/Postgraduate Certificate. This applies where a candidate has not completed the dissertation requirements for the award of an MSc;
OR
- 17.19.5** be required to withdraw from the EngD but be encouraged to register for the degree of Master of Philosophy.
- 17.20** For the degree of EngD the basis of assessment, following satisfactory completion of the curriculum-based element, shall be one of the following:
- 17.20.1** a collection of published papers and a discourse of no more than 20,000 words setting out the aims, objectives, findings and industrial relevance/impact of the research work undertaken. The submission shall include a minimum of 3 published (peer reviewed) papers or papers accepted for publication, of which at least one should be in an appropriate engineering journal.
- 17.20.2** Where the nature of the research programme made the production of publications unlikely, technical reports should be included in lieu of published papers. Such technical reports shall have been subject to external assessment. The reports shall be accompanied by a discourse of no more than 20,000 words setting out the aims, objectives, findings and industrial/relevance impact of the research work undertaken.
- 17.20.3** a research thesis.
An Annex to the Programme Specification for the curriculum-based component shall specify which of the above routes are available to candidates for the EngD and the procedure for clarifying the route to be pursued.

- 17.21** When an eligible candidate has notified his/her intention to make a submission the Faculty Board shall appoint examiners. There shall be a least two external examiners in addition to the internal examiner.
- 17.22** In order to be eligible for the award of the degree of Doctor of Engineering, candidates must demonstrate innovation in the application of knowledge to the engineering business environment. In addition they must demonstrate the following competences:
- (i) Expert knowledge of an engineering area;
 - (ii) The appreciation of industrial engineering and development culture;
 - (iii) Project and programme management skills;
 - (iv) Teamwork and leadership skills;
 - (v) Oral and written communication skills;
 - (vi) Technical organisational skills;
 - (vii) Financial engineering project planning and control;
 - (viii) The ability to apply their skills to new and unusual situations;
 - (ix) The ability to seek optimal, viable solutions to multi-faceted engineering problems and to search out relevant information sources.
- For all candidates registered for the award of EngD competences iii-ix will be demonstrated by successful completion of compulsory taught modules in Management and Professional Development or equivalent modules identified in Programme Regulations undertaken during the curriculum-based component of the programme.
- 17.23** The term research student shall be taken to apply to all Research Engineers registered on the EngD programme. The provisions of the Regulations for Higher Degrees by Research shall apply to all candidates except as provided for in the foregoing paragraphs.

18. Regulations for the New Route PhD

- 18.1** Candidates registering for the New Route PhD programme should normally possess at least an upper second class honours degree, or equivalent qualification and professional experience.
- 18.2** Candidates shall be required to pursue an approved full-time programme of study and research extending over a period of four years. Candidates who already possess an appropriate Masters Degree or other relevant experience may be granted credit from undertaking specific modules up to a total modular weight of 30 at the discretion of the Programme Director.
- 18.3** Any research student who is registered for the New Route PhD programme is eligible to submit a thesis for the degree of Doctor of Philosophy after 48 months full-time registration. However, a student may submit their thesis up to 6 months early with the permission of their supervisor and Director of Research. Candidates shall submit their theses within 54 months of the date of their initial registration.
- 18.4** Candidates shall be registered at the outset for the degree of MPhil / PhD as appropriate. Registration shall normally be with effect from 1 October.
- 18.5** Programme Regulations shall be published for the curriculum-based element of the New Route PhD, which shall include a listing of the constituent modules. Module specifications shall be published for each module in accordance with the provision of Regulation XXI.
- 18.6** Candidates are required to register for modules with a minimum total modular weighting of 60 credits and a maximum total modular weighting of 120 within a period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 18.2 of these Regulations.

- 18.7** All candidates shall register at the beginning of their programme and subsequently at the beginning of each academic year for the modules which they are taking in that year, subject to their satisfactory progress in research and the extension of their registration for the Degree of MPhil / PhD in accordance with para.4.4 of the Regulations for Higher Degrees by Research. Candidates are not eligible to register for modules whilst they remain in debt to the University.
- 18.8** The curriculum-based element of the New Route PhD programme shall be assessed in accordance with the procedures set out in Regulation XXI.
- 18.9** An External Programme Assessor shall be appointed for the curriculum-based element of the New Route PhD programme in accordance with Regulation XXII.
- 18.10** There shall be a Programme Board for the curriculum-based element of the New Route PhD programme which shall meet for the purpose of awarding the Postgraduate Diploma or Postgraduate Certificate and which shall exercise the other powers of a Programme Board described in Regulation XXI.
- 18.11** Candidates who accumulate a minimum of 100 credits and obtain module marks of not less than 40% in further modules with a weight of 20, and fulfil any additional requirements for the award stipulated in the Programme Regulations shall be eligible for the award of Postgraduate Diploma in Integrated Research Studies. Candidates who do not meet the requirements for the Postgraduate Diploma but who accumulate 60 credits and fulfil any additional requirements for the award stipulated in the Programme Regulations shall be eligible for the award of Postgraduate Certificate in Integrated Research Studies.
- 18.12** Candidates will be eligible to progress on the New Route PhD programme when they have successfully completed the curriculum-based element within the maximum period of time specified in the Programme Regulations, except where exemption has been granted in accordance with paragraph 18.2 of these Regulations.
- 18.13** Candidates shall re-register annually and re-registration will depend upon satisfactory performance in research and taught modules. Progress during the second year of registration will be assessed through the submission to the Director of Research of a report of the order of 10,000 words on the research to date. Assessment of research progress shall be undertaken by someone other than the candidate's Supervisor or Director of Research and shall include an oral examination.
- 18.14** Throughout the programme of study candidates shall undertake research leading to the submission of a thesis.
- 18.15** Lack of satisfactory progress in either the curriculum-based element of the programme or the research project will mean that the candidate will not be permitted to continue to pursue the programme of study. At the end of year 2 the progress of candidates will be assessed on the basis of their performance in the curriculum-based element and research element of the programme and the candidates shall either:
- be permitted to proceed with the New Route PhD programme AND be awarded a Postgraduate Diploma as defined in Programme Regulations;
- OR
- be permitted to continue with the New Route PhD programme subject to the completion of any outstanding requirements in relation to the taught element of the programme;
- OR
- be required to withdraw from the New Route PhD programme;
- OR

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- be required to withdraw from the New Route PhD programme but be awarded an appropriate Postgraduate Diploma/Postgraduate Certificate;

OR

- be required to withdraw from the New Route PhD Programme but be encouraged to submit for the degree of Master of Philosophy;

OR

- be required to withdraw from the New Route PhD Programme but be permitted to register for a PhD in accordance with the Regulations for Higher Degrees by Research.

18.16 For the degree of PhD, the basis of assessment shall be in accordance with para 10.2 of the Regulations for Higher Degrees by Research.

18.17 The provisions of the Regulations for Higher Degrees by Research shall apply to all candidates except as provided for in the foregoing paragraphs.

19. Interpretation

The interpretation of these Regulations, in the case of disagreement, shall be the responsibility of Senate.

These Regulations should be read in conjunction with Notes for the Guidance of Students, Directors of Research, Supervisors and Examiners.

Regulations for Higher Doctorates

1. The Degree of Doctor of Technology (DTech), Doctor of Science (DSc) or Doctor of Letters (DLitt) may be conferred by the University in recognition of published work constituting a sustained, substantial and original contribution to knowledge. The Degree is conferred by the Senate on the recommendation of the Higher Doctorates Committee (hereinafter referred to as the “Committee”).

2. Eligibility

To be eligible to submit for a Higher Doctorate a candidate must be a graduate of the University, or a Diplomate of the former Loughborough College of Technology or a member or former member of the Academic Staff of the University. Graduates of the University may submit after not less than nine years after having had conferred the degree of Bachelor, or not less than six years after having had conferred the degree of Doctor of Philosophy. Academic Staff must have been in post not less than seven years.

3. Application

A candidate must apply in writing to the Secretary of Senate, stipulating the Degree for which he/she is applying and enclosing such examination fees as may be determined by Council from time to time.

4. Presentation

The degree is awarded solely on the basis of published work of high merit in fields of research in which the candidate is engaged, and three copies must be submitted of books or work published in journals which the candidate wishes to be taken into consideration. Exceptionally, and at the Committee’s discretion, work of more limited circulation may be taken into consideration. There must also be submitted a statement containing:

- (i) a list of the candidate's publications in which are marked those which contain the main substance of the submission;
- (ii) a brief guide to the nature and importance of the publications so marked;
- (iii) a declaration of the nature and extent of the candidate's own contribution, and that of co-authors and collaborators, to each of the publications submitted;
- (iv) a declaration of what part of the publications, if any, has been submitted by the candidate, or collaborators, for a degree of this or any other university, or of any professional body or learned society.

5. Examinations

Three External Examiners will be appointed by the Committee who will take into consideration primarily those publications which are defined by the candidate as containing the main substance of the submission. Each Examiner, separately, will report to the Committee his/her assessment of the work submitted and the Committee, having considered the advice of the Examiners will, if it thinks fit, recommend to Senate that a degree be awarded.

6. Retention of Publications

The University reserves the right to retain two copies of any successful submission in the University Library. The remaining copy, or unsuccessful submissions, will be returned to the candidate.

Notes for the Guidance of Research Students, Directors of Research, Supervisors and Examiners

These notes have been prepared by the Research Committee in order to assist research students, their Directors of Research, Supervisors and Examiners. They apply to all higher degrees by research, and should be read in conjunction with Regulations for Higher Degrees by Research (RHDR). The references in brackets throughout are to the appropriate paragraph in the Regulations for Higher Degrees by Research.

A Registration (RHDR Paragraphs 4 & 5)

A1 The normal period of study for the degree of Doctor of Philosophy is three years full-time or five years part-time. The normal period of study for the Degree of Master of Philosophy is two years full-time and three years part-time. Students are expected to complete their research and write up their theses within the relevant time scale unless they are granted an extension to their studies for completion of their thesis (see paragraph A23). Such extensions will be for no more than 12 months for full-time students and 24 months for part-time students.

A2 In exceptional cases, recommendations from departments for longer or shorter periods of study will be considered where there is clear academic justification. Such recommendations are subject to approval by the Associate Dean (Research).

A3 Students aiming for the degree of PhD will normally be registered for an MPhil in the first instance. However, students holding an appropriate postgraduate degree which has provided research training may be registered initially for a PhD on the recommendation of their department when an offer of admission is made by the University. In such circumstances the department's reasons for immediate PhD registration will be subject to approval by the Associate Dean (Research).

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

A4 During their standard period of study, students will be invited to register annually by the Academic Registry. If a student does not re-register within one month of the anniversary of their initial registration, their registration at the University will normally be deemed to have lapsed.

A5 Students may apply to the Research Student Office for a suspension of their studies. The application must have the support of their Head of Department, Supervisor(s) and Director of Research and will be considered by the Associate Dean (Research). Suspension of studies will be for a maximum of 12 months in the first instance and will normally apply only during a period of full registration. Requests for suspensions for personal, health or family reasons will be considered sympathetically. However, no requests will be approved for the purposes of employment, temporary lectureships, exchanges, voluntary service overseas or expeditions/sports. Suspensions of studies during the extension period will not normally be considered except on medical grounds.

A6 Tuition fees will be charged annually for the student's period of study defined in paragraphs A1 and A2 above. Students will receive a written notice of the need to re-register and any outstanding debt will be drawn to their attention. Re-registration will not be permitted if debts of any kind with the University are outstanding.

A7 Transfer of Research Students between Universities.
Detailed guidelines for the registration arrangements for transfers into Loughborough from another university or for transfers from Loughborough to another university will be found in Appendix VIII.

Student's Responsibilities

- A8** The responsibilities of a research student 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);
 - 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 periodic 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.

- A9** The student should be aware that the research to be pursued must be his/her own work and he/she should determine the research programme after an initial period of instruction and assistance from his/her supervisor (see D1 xi).

- A10** The student has the responsibility to maintain contact with his/her Supervisor while actively pursuing his/her research. He/she is strongly advised to continue to do so until he/she is ready to submit his/her thesis, which should be presented to his/her Supervisor in manuscript form for comment prior to being submitted.

A student need not confine his/her requests for advice to his/her Supervisor but may approach any member of the academic staff who can help.

In exceptional cases a student may ask his/her Director of Research for the Supervisor to be changed if the research is progressing along lines outside his/her Supervisor's area of expertise or for any other reason that the student may consider makes a change desirable.

If an initial request to a Director of Research for a change of Supervisor does not succeed a student should approach his/her Head of Department. If a solution cannot be found an approach should then be made to the Dean of the Faculty, whose decision shall be final.

- A11** Subject to completing a minimum period of registration it is for the student to determine when his/her thesis is ready for submission. It is anticipated that submissions will be made with the support of the Director of Research and Supervisor. Where support is not given the matter will be referred to the Dean of the Faculty on the notification of the Research Student Office.

Notification of intention to submit a thesis must be given on the appropriate form which is available from the Research Student Office and should normally be made at least three months prior to the expected date of submission.

- A12** A student should ensure the he/she is familiar with University Regulations and may ask his/her Director of Research, Supervisor of the Research Student Office of the University for advice on their interpretation.

Progress Monitoring

- A13** Full-time and part-time students are required to undertake research training as prescribed by their department.
- A14** Before a full-time student will be permitted to re-register for their second year of research, he/she will be required to submit a report of the order of 10,000 words or their equivalent on the research carried out to date. Assessment of the report will include a viva voce examination except where that is impracticable. The viva voce examination will be conducted by one or more members of Academic Staff who are not the student's supervisor or Director of Research. The report and viva voce will normally form the basis of a recommendation to the Director of Research as to whether the student should be permitted to continue their registration and whether that registration should be for an MPhil or PhD.
- A15** Before the end of their first 12 months of study, part-time students initially registered for the degree of MPhil, will be required to submit a report of 5,000 words on the research to date and a report of the order of 10,000 words at the point of transfer from MPhil to PhD. Part-time students initially registered for the degree of PhD will be required to submit a report of 5000 words on the research to date before the end of 12 months study and a report of 10,000 words at the point at which he/she is judged by his/her supervisor to have completed the equivalent of 12 months full-time study (i.e. after approximately 20 months).
- A16** The Director of Research is empowered at, or any time thereafter, the completion of 12 months of full-time study, or the equivalent in the case of part-time study, to upgrade a student's registration from MPhil to PhD. Satisfactory completion of the relevant research report referred to in paragraphs A14 and A15 above will be the primary element in this decision. Students must also meet the research training requirements of their Faculty.
- A17** The Director of Research may recommend at any time that a student's registration be terminated on the grounds of unsatisfactory progress. The Director of Research must inform the student and Research Student Office of the reasons for the termination of registration. For a student who has not yet completed 12 months registration unsatisfactory progress will normally relate to unauthorised absence or failure to meet agreed research targets. In these circumstances the Director of Research should submit a written recommendation to the Research Student Office. Subject to the agreement of an ADR from a Faculty other than the one in which the student is registered, that there is a prima facie case for termination of studies, the Research Student Office will notify the candidate of the reasons for the termination. A student whose studies are terminated has the right of appeal under paragraph 16.11 of the Regulations for Higher Degrees by Research.
- A18** After successful submission of the 10,000 word report full-time students should produce a further substantial written report 8-9 months into year 2. The report should include a detailed plan of the research to be undertaken in year 3. A further written report should be produced 8-9 months into year 3. Part-time students should produce reports annually for the remaining years of the registration.
- A19** All students will receive a written report from their supervisor(s) concerning their progress each year on or around the date of their initial registration. This should normally be at least 300 words in length. It should include discussion of the viability of the research programme, evidence of the research training being undertaken, the grasp of research methodology and the basis of the decision taken to upgrade registration where appropriate. It is the responsibility of the department to ensure that students receive these reports on a timely basis.
- A20** Departments shall complete and submit to the Research Student Office an annual report on a research student's progress. Students shall not be re-registered prior to receipt of the report by the Research Student Office. This shall apply to students registering initially on or after 1 July 2007.

Submission and Completion

A21 Presentation of the thesis and Requirements for Submission

The thesis must be presented and bound in accordance with the format set out in Appendices I to III of this guide. Three copies should be submitted for examination to the Research Student Office within the approved time scale for the candidate as set out above. Appendix 7 provides further detail of the stages of the submission process and the information required at each stage. Once a thesis has been successfully examined, two copies in a permanent bound format should be submitted to the Research Student Office.

A22 Early Submission

In exceptional circumstances, with the permission of their supervisor(s) and Director of Research, a student may be permitted to submit their thesis up to 12 months before the completion of their standard period of registration.

A23

As noted in paragraph A1 above students are expected to complete both their research and their thesis within the standard period of study for their degree. However, should the research be completed, but a further period be required to complete writing up of the work, students may apply for an extension of their registration of no more than 12 months. An extension fee will be payable for this period. If the research itself has not been completed, the department (normally the Director of Research) should consider recommending an extension to the standard period of full fee-paying registration (see paragraph A3 above).

A24 Late Submission

Students who are not able to submit their thesis within the periods prescribed in paragraphs A1 to A3 above may apply within the six months prior to the completion of the prescribed period to their Faculty Board for permission to submit their thesis late. The application should normally include a detailed work plan including a time table for completion of each remaining section of the thesis. The plans should have the written support of the supervisor(s) and Director of Research. Such cases will normally be considered by the Associate Dean for Research on behalf of the Board and will only be approved if there are exceptional circumstances. No more than 12 months of additional extension will be permitted before the thesis is submitted. The candidate will pay an extension fee for this period as well as a late submission fee determined by the University Council. Candidates who delay submission of their thesis should realise that the work will be judged by standards acceptable at the time of examination; they will not receive credit for work which has become out of date because of the delay.

B Submission by Publications (RHDR Paragraph 6)

B1 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 two 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 he/she is 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.
- 4.** This method of submission (by publications or other academic output) would not normally be appropriate for the award of the degree of MPhil.

B2 In addition to the thesis the following must be submitted:

- (a) 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;
- (b) 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.
- (c) a list of 6 to 10 'Key words' in order to assist the University Library to catalogue the thesis.

- B3** 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:
- (i) 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
 - (ii) a list of items included in the submission.
 - (iii) A statement specifying the current location of copyright in each case.

PhD Submissions by Practice – Staff Candidates 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:
- 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.
 - 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.
 - A permanent record of the presentation(s) in an appropriate binding shall be submitted to the Research Student Office and, following successful examination, shall be deposited in the University Library.

Practice Based Research Degrees 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 department, 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 paragraphs E3 and E4 of the Notes for Guidance.
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 departmental guidelines and be subject to careful review.
5. This mode of submission would normally be appropriate in the following Departments:- LUSAD, Design and Technology and English and Drama. 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 the University's General Regulations for Higher Degrees by Research. 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.

8. 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.

PhD by Creative Writing Guidelines

The PhD submission should consist of an extended and original piece of creative work and a shorter critical evaluation in which this creative work is interrogated. 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. It should be of a professional and publishable or performable quality according to standards set by the Examiners. In the case of a play script, the Examiners will normally be concerned with the script itself rather than any particular performance.

The critical component will involve a self-reflective and evaluative analysis about some aspect of the creative or research process. This may include reference to thematic preoccupations, wider literary, theoretical, or poetic contexts and discussion of research material. For instance, where relevant, the analysis may discuss how the creative piece relates to the research on which it is based; it may examine how the creative piece relates to other writers' theorisations of the art-form concerned; it may describe how the creative piece contributes to wider cultural debates. The evaluative section of the thesis will normally be 10,000 - 20,000 words in length.

Candidates will be required to undertake research training appropriate to their field of study.

C Directors of Research

- C1** Professors, Readers and Senior Lecturers are eligible ex-officio to act as Directors of Research and Lecturers can act in this capacity for specific students subject to special appointment by Faculty Boards on the basis of a case submitted by the Department.

A member of staff may not act as both Director of Research and Supervisor for the same student.

- C2** The various statutory responsibilities of a Director of Research are detailed in the Regulations for Higher Degrees by Research but in essence they are:

- (i) to maintain regular contact with the Supervisor on the student's progress.
- (ii) to co-ordinate the presentation and assessment of the research report required prior to a student's first extension of registration.
- (iii) to transfer, where appropriate, a student's registration from one for the degree of Master to one for the degree of Doctor of Philosophy.

- C3** The following guidelines relating to the role of Directors of Research have been approved by Senate:

- (i) To ensure that facilities are adequate for the proposed research project before the candidate is accepted for research, as far as is practicable.
- (ii) To ensure that adequate arrangements are made and maintained for the effective supervision of the student.
- (iii) To monitor the progress of the student through the system to ensure that this is well managed and fair.
- (iv) To monitor the progress of the research student within the guidelines of Regulations and University and Departmental Practice.
- (v) Directors of Research should also take steps to ensure that regular contact be maintained with the student once he/she has begun to write up his/her thesis, whether or not he/she remains on campus, in order that the thesis be completed and submitted for examination in good time and in any case within the permitted writing up period.

It is envisaged that the Director of Research will normally meet jointly with the student and supervisor at least twice each year to ensure that the student's progress is effectively monitored and recorded.

Furthermore, when the Director of Research is not also the Head of Department, he/she should make a brief annual report to the Head of Department concerning the progress of the student and in the case where a probationary member of staff is acting as a supervisor, on the supervision carried out by that member of staff.

D Supervisors

D1 The role of the supervisor is outlined below:

- (i) at the commencement of the research the supervisor should agree with the research student a written timetable for the conduct of the research and the completion of written work. The minimum number of formal contacts between full-time research students and research degree supervisor(s) shall normally be 12 per annum. Part-time research students, and students working away from the University, should have formal contact with their supervisor 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. Formal supervisory contact meetings and their outcomes shall be recorded.
- (ii) to keep in regular contact with the student, including any period during which the student is working away from the University.
- (iii) to offer advice to the student on both academic and personal problems.
- (iv) to give general guidance and advice to the student on the progress of his/her research.
- (v) to give advice and instruction on research methods appropriate to the student's field of study.
- (vi) to encourage the student to keep himself/herself informed of all relevant developments within his/her subject.
- (vii) to report to the Director of Research on the student's progress.
- (viii) to give advice on the preparation of the student's thesis and to encourage him/her to write up the thesis before leaving the University.
- (ix) to present a written progress report annually to the student at the point of re-registration.
- (x) to encourage the publication of material contained in a successful PhD thesis.
- (xi) Supervisors should make it clear to students 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 student's decision wherever possible.
- (xii) Supervisors should also take steps to ensure that regular contact be maintained with their students once they have begun to write up their theses, whether or not they remain on campus, in order that their theses may be completed and submitted for examination in good time and in any case within the permitted writing up period.
- (xiii) Supervisors should maintain contact with research degree candidates following referral of their thesis should the candidate feel the need for advice and assistance.
- (xiv) Where there is joint supervision, one supervisor should be designated from the outset as the person to ensure that administrative requirements and progress monitoring are carried out. In cases of joint supervision by more than one department, the designated supervisor should be in the same department as the student's Director of Research.
- (xv) The bulk of research training requirements takes place within the research process, through discussion between student and supervisor, and through referral to appropriate reading. In addition, however, supervisors should ascertain at the outset, and keep under review throughout, any particular training needs or training programmes that the Faculty requires the student to attend.
- (xvi) In the event of a supervisor's extended absence from the University through sickness, leave of absence or study leave the Research Student Office must be notified of the alternative supervisory arrangements made.
- (xvii) A supervisor should normally be a full-time permanent member of the academic staff. Part-time or probationary members of staff may be appointed as supervisors only in

conjunction with a full-time permanent member of the academic staff. Full-time members of the academic staff on fixed term contracts may be appointed as sole supervisors provided that the department can satisfy the Faculty Board that the appointment is appropriate.

E Examiners and Examination Procedures

(RHDR paragraphs 8, 9, 10, 11)

- (i) External Examiners shall normally be research active members of academic staff at another institution of higher education or research institute.
- (ii) Examiners are normally expected to 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.
- (iii) 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 a Senate Observer would also attend the oral to represent the University in the absence of an Internal Examiner.
- (iv) 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 student's field of research and hold a professional status equivalent to University Professor, Reader or Lecturer. 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 should be appointed. Where a second External Examiner is appointed a Senate Observer shall attend the oral examination to represent the University.
- (v) In the event that a member of staff of a non UK University is proposed as an Examiner familiarity with the UK PhD system either through previous employment or previous supervision/examination of PhD students should be demonstrated. If this is not possible then an experienced Internal Examiner shall be appointed alongside who will undertake to brief the External Examiner on the expectations of a research degree submission.
- (vi) A candidate's Supervisor may attend an oral examination as an Observer unless the student objects to the presence of the Supervisor.
- (vii) 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.
- (viii) 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.
- (ix) Examiners should ensure that adequate time is set aside for the oral examination. This should include time for any pre-viva discussion between examiners, the viva itself and the drafting of the examiners' report.
- (x) The oral examination shall be held at Loughborough University. In exceptional circumstances it may be necessary for arrangements to be made to conduct the oral examination at an alternative location or by video conference link. The permission of the Research Student Office and the AD(R) should be sought and followed prior to making any such alternative arrangements which must be agreed by all parties.
- (xi) 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.

- (xii) The Internal and External Examiners shall complete a written preliminary report on the thesis prior to conducting the oral examination of the candidate. The report should be completed, on the pro forma supplied, prior to any consultation between Examiners. Individual preliminary reports should be submitted to the Research Student Office together with the Examiners' joint final report on the thesis and viva as specified in para E6(vi) on completion of the examination.
- (xiii) In the event that a student is required to undertake further work on the thesis submission to meet the Examiners' requirements, the Examiners may be approached through the candidate's supervisor for further clarification regarding the work to be accomplished if it is felt that additional guidance is necessary. It is the candidate's responsibility to undertake the additional work seeking advice from their supervisor as necessary. Examiners should not be expected to comment on the revised submission prior to re-examination.

E2 Attendance at Oral Examinations

- (i) Attendance at an oral examination by the candidate for a higher degree may be waived only by the Vice Chancellor on the recommendation of the Faculty Board with the advice of the candidate's Director of Research. In the case where attendance at the oral examination is waived a second or third External Examiner shall be appointed as considered appropriate.
- (ii) Where a candidate's attendance at an oral examination has been waived, the candidate's 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 Vice Chancellor when seeking to waive the requirements for a candidate to attend an oral examination.

E3 Requirements for the Degree of Master of Philosophy

- (i) The examiners are required to study the thesis and to submit the candidate to an oral examination.
- (ii) The thesis should contain work of merit presented in satisfactory literary form (including references, notes and bibliography, as appropriate), should not be of unnecessary length and should provide evidence of training in and application of research methods appropriate to the particular field of study.
- (iii) The candidate is expected to satisfy the examiners that he/she has a general acquaintance with the published work relating to the subject of his/her thesis.

E4 Requirements for the Degree of Doctor of Philosophy

- (i) The Examiners are required to study the thesis and to submit the candidate to an oral examination.
- (ii) The thesis should be presented in satisfactory literary form (including references, notes and bibliography, as appropriate) and should not be of unnecessary length. Candidates are advised not to exceed 50,000 words or their adjudged equivalent for a Master's thesis or 80,000 words or their adjudged equivalent for a Doctoral thesis.
- (iii) 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.
- (iv) In addition the candidate is expected to satisfy the examiners that he/she is well acquainted with the general field of knowledge to which his/her subject relates.

E5 Requirements for the Degree of Doctor of Engineering

- (i) The requirements for the award of the Doctor of Engineering are distinct from the criteria used to assess the award of Doctor of Philosophy. Examiners should refer to the Regulations for the conduct and assessment of the EngD programme which are outlined in para 19 of the Regulations for Higher Degrees by Research. The examination shall be

conducted by two External and one Internal Examiners. The candidate's academic/industrial supervisors may attend as Observers, unless the candidate objects to their attendance.

- (ii) The Examiners are required to study the thesis (including the technical papers in the Appendix where appropriate) and to submit the candidate to an oral examination.
- (iii) 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 as specified in para 19.20 of the EngD regulations. The format of the EngD submission shall be in accordance with the requirements set out in an Annex to the Programme Specification for the curriculum-based component of the specific EngD programme.
- (iv) The thesis should demonstrate innovation in the application of knowledge to the engineering business environment, expert knowledge of an Engineering area and the appreciation of industrial engineering and development culture. It should also provide evidence of training in and the application of research methods appropriate to the particular field of study.
- (v) In addition the candidate is expected to satisfy the Examiners that he/she is well acquainted with the general field of knowledge to which his/her subject relates.

E6 General

- (i) The Examiners shall normally recommend that the degree be awarded or that the candidate's work be either referred or failed.
- (ii) If the Examiners' recommendation is that the degree be awarded they may still require the candidate to make corrections to his/her thesis to the satisfaction of one or both examiners before his/her degree is conferred.
- (iii) If the thesis is deemed to be adequate but the candidate fails to satisfy the examiners at the oral examination particularly in respect of E3(iii) and E4(iv), they may recommend that the candidate be allowed to undergo another oral examination on one occasion only, within a period specified by the Examiners not exceeding 12 months.
- (iii) If the thesis, though inadequate, is deficient in certain respects only, the Examiners may recommend that it be referred for revision, and subsequent re-examination. This revision is to be completed within a period specified by the Examiners.
- (iv) Where corrections are required or a thesis is referred the Examiners are required to submit a list of corrections or to specify the points which require further work. The list of corrections shall be attached to the Examiners' report form and returned to the Research Student normally within ten working days of the oral examination.
- (v) In the case of a candidate for the degree of Doctor of Philosophy the Examiners may recommend that the candidate be failed but be offered the degree of Master instead.
- (vi) A joint report is preferred but each Examiner may give a brief statement of the grounds for his/her recommendation on the form provided. The formal written report should be submitted to the Research Student Office as soon as possible and normally within 10 working days of the oral examination.
- (vii) In the case of a disagreement between the Examiners a further external Examiner who will conduct a re-examination will be appointed, whose decision will be final. If this "final" decision is to refer the candidate for re-examination the subsequent examination should be carried out wherever possible by all the Examiners who have been appointed.
- (viii) The Examiners' recommendation will be reported to the appropriate Board of Studies or, in the case of University Staff, to Senate at the next available opportunity for ratification.

F Appeals

(RHDR Paragraphs 4.5, 16)

- F20** Given the existence of procedures for complaint and redress during the study period (which should normally be dealt with through the Director of Research 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 16.1.
- F21** Paragraph 16 of the Regulations for Higher Degrees by Research lays down the procedure to be adopted for the filing and hearing of appeals. Whilst the Appeals Committee, constituted under Paragraph 16.4, is permitted to determine its own method of proceeding the following basic practices will be adopted:
- (i) The appellant and the Director of Research 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.
 - (ii) 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.
 - (iii) The hearing will be conducted as follows:
The Appellant and/or his/her friend presents the student'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.
 - (iv) The Committee deliberates and reaches its decision in private (accompanied by its Secretary).
 - (v) 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.
 - (vi) The Committee may arrive at its decision by a simple majority. In the event of a tied vote the Chairman may use a casting vote. If he/she chooses not to exercise his/her right to a casting vote, the Committee will inform Senate of its inability to make a firm recommendation.
 - (vii) 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.

Appendix I

Ordinance XXXIX

Ownership and Commercial Exploitation of Intellectual Property

1. For the purposes of this Ordinance, the definition of intellectual property includes patentable research results, apparatus, designs, copyright, computer software or other discoveries and inventions but excludes books, artefacts, journal articles and theses.
2. The arrangements for ownership and commercial exploitation of any intellectual property developed by a member of University staff shall be governed by provisions in the relevant Conditions of Service.
3. The arrangements for ownership and commercial exploitation of any intellectual property developed by research students of the University in the course of their studies, or any other work undertaken at the request of the University or using University facilities, shall be governed by the relevant provisions of the Conditions of Service for Academic and Related Staff.
4. Students following taught programmes of study will normally retain ownership of intellectual property where they can demonstrate that that they have developed it in the course of their studies or through use of University facilities. For ownership to be assigned to the student, it must be clear that the intellectual property derives from the student's own work with due regard being given to the contribution of members of staff, other students and any external partners. In addition account may need to be given to the following:
 - (i) Where the student is sponsored by an outside body, any conditions of the sponsorship relating to intellectual property developed in the period of the sponsorship.
 - (ii) Where the project is fully or partially externally funded, any conditions of the contract with the University relating to intellectual property developed in the course of the project.
5. Ownership of intellectual property by taught students should normally be determined by mutual agreement between the student and the relevant Head of Department. However, where this is not possible, the student or Head of Department may refer the matter to the Director of Business Partnerships, Innovation and Knowledge Transfer for a decision. Should the matter remain in dispute, the case shall be referred to an appeals committee comprised of three lay members of the University Council or University Court, nominated by the Academic Registrar, who shall also appoint an independent member of University staff to act as secretary. The committee shall determine its own procedure but shall act at all times in accordance with the principles of natural justice. The decision of the appeals committee shall be final.

(made July 2004)

Appendix II

Regulation XVI – Tuition Fees and Payments for Other University Services

Scope of Regulation

1. This regulation shall apply to all introductory studies, undergraduate, modular postgraduate and research students. The Academic Registrar may waive any of the requirements of this regulation in the case of individual students. Any such waiver shall be reported to the next meeting of Senate.

Tuition Fees

2. Tuition fees shall be payable, depending on the programme, on either on a programme or modular basis. The level of fees shall be approved and published by the University Council from time to time. Except where students are paying by a stage payment plan approved by the Bursar, tuition fees should be paid in full by the end of Semester One (taught students) and within three months of their initial registration or re-registration date (research students).
3. Tuition fees are the responsibility of the student. Where the student has nominated a sponsor, but that sponsor fails to pay within the time limits specified in this regulation, the student shall be liable for the fees.

Withdrawal

4. For the purposes of paragraphs 5 and 6 hereof, a week shall be deemed to commence on Monday and end on Sunday and any incomplete week shall be treated as a full week.
5. Any student whose effective withdrawal date falls within the first four weeks of their programme will not be charged tuition fees. Thereafter, students shall be charged tuition fees on a pro rata weekly basis for each week which has elapsed since the start of their programme year. The effective withdrawal date for taught students shall be determined in accordance with the provisions of Regulation IX, and for research students shall be the date of last attendance as confirmed by the student's department.

Transfer Between Programmes

6. Where a student transfers programme and/or department and a different level of tuition fee is applicable to the new programme, the overall tuition fee shall be calculated on a pro rata weekly basis. Where a student transfers mid-week, the pro-rata charge for that week shall be determined from the charge applicable to the original programme/department.

Leave of Absence

7. Where a student is granted leave of absence tuition fee liability will be calculated in accordance with paragraph 5 hereof as if the student had withdrawn.
8. On return from leave of absence:
tuition fees for taught students for the year shall be charged in full with a discount applied according to the tuition fee charged for the period prior to leave of absence, in accordance with paragraph 7 hereof tuition fees for research students shall be charged for the remainder of the registration period.

Obligations

9. For the purposes of this regulation, obligations shall be deemed to include tuition fees, accommodation and other charges, library, disciplinary and other fines and the return of all borrowed material to the library.

Consequences of Failure to Meet Obligations to the University – Taught Students

Outstanding Tuition Fees – Suspension of Studies – Taught Students

- 10.** Taught students who have not paid all outstanding tuition fees by the end of week 11 of Semester Two shall normally be suspended from their programme of study. In extenuating circumstances the Academic Registrar may approve alternative action.
- 11.** Where a taught student is suspended from their studies in accordance with paragraph 10 hereof;
- (i) the student shall not be considered by a Programme or Module Board until the suspension has been lifted
 - (ii) the student shall not be permitted to submit coursework, sit written examinations, or take other forms of assessments after the date of suspension
 - (iii) where the student misses any assessment(s) as a result of his/her studies being suspended and is subsequently permitted to resume his/her studies prior to the end of the academic year, the assessment(s) shall normally be taken in the Special Assessment Period.
- 12.** Where a taught student is suspended from his/her studies in accordance with paragraph 10 hereof, and is later permitted to resume, there shall be no refund of tuition fees for any period of suspension nor shall the maximum time limits outlined in paragraph 5 of the General Regulations for Undergraduate Awards or paragraph 5 of the General Regulations for Modular Postgraduate Awards be extended.
- 13.** Where a taught student is suspended from his/her studies in accordance with paragraph 10 hereof, and does not later resume, the effective withdrawal date for purposes of Regulation IX and paragraph 5 hereof shall be the date of the suspension.

Suspension of Progression and Awards and Module Registration – Taught Students

- 14.** Taught students must meet all obligations to the University by a date five working days in advance of the meeting of the relevant Programme Board. Failure to meet this deadline will result in the following action;
- (i) if the decision of the board is that the student would otherwise receive an award, no award will be made until all obligations have been met.
 - (ii) if the decision of the board is that the student would otherwise be permitted to progress to the next Part of their programme, progression will not be permitted until all obligations have been met, save that the Academic Registrar may set a maximum outstanding obligations level each academic year below which progression may be permitted for all students.
 - (iii) if the decision of the board is that the student has failed and has outstanding reassessment rights, the student shall be permitted to exercise these rights, but without tuition only.
 - (iv) if the decision of the board is that the student's studies should be terminated, the student shall be classified as a permanent leaver in debt to the University.
- 15.** Where, at the start of an academic year, a postgraduate taught student has outstanding obligations incurred in a previous academic year, that student shall not be permitted to register on any further modules or to receive tuition in any reassessment modules until all such obligations are met.
- 16.** Where a taught student is not permitted to register on, receive tuition in or be assessed in the next Part of their programme in accordance with paragraph 14 hereof or to register on modules in accordance with paragraph 15 hereof, the maximum time limits outlined in paragraph 5 of the General Regulations for Undergraduate Awards or paragraph 5 of the General Regulations for Modular Postgraduate Awards shall not be extended to take account of any resultant period of inactivity.

Termination of Studies – Tuition Fees and Other Obligations – Taught Students

- 17.** The Academic Registrar may terminate the studies of a taught student if;
- (i) The student has been suspended from their studies under the provisions of paragraph 10 hereof and has not, by 31 July in the academic year in which they were suspended, paid all outstanding tuition fees, or
 - (ii) The student has not been permitted to register on the next part of their programme or to be awarded a degree under the provisions of paragraph 14 hereof or to register on modules in accordance with paragraph 15 hereof, and has not met all obligations by 31 July in the academic year following that in which the obligations were incurred.
- 18.** The Academic Registrar shall ensure that notification of termination of studies under the provisions of paragraph 17 hereof is sent to the students last known permanent address.
- 19.** Taught students whose studies have been terminated under the provisions of paragraph 17 hereof will not be eligible for any further assessment under any circumstances, but may be eligible for an award based on the Module Marks already obtained if all obligations are met at a later date, subject to the provisions of the General Regulations for Undergraduate Awards, the General Regulations for Modular Postgraduate Awards or the General Regulations for Introductory Studies.

Consequences of Failure to Meet Obligations to the University – Research Students

Outstanding Tuition Fees – Suspension of Studies – Research Students

- 20.** Students who have not paid all outstanding tuition fees within 3 months of their initial registration or re-registration may be suspended from their research degree programme. In extenuating circumstances the Academic Registrar or his/her nominee may approve alternative action.
- 21.** Where a student is suspended from their studies in accordance with paragraph 20 hereof he/she will not be permitted to attend the University for the purpose of conducting their research degree programme, nor make his/her research degree submission, nor undertake any form of assessment after the date of suspension.
- 22.** Where a student is suspended from his/her studies and is later permitted to resume following settlement of the outstanding debt, tuition fees will not be owed for the period of suspension. Tuition fee liability will commence at the point at which the student is reinstated.
- 23.** Where a student is suspended from his/her studies in accordance with paragraph 20 hereof, and does not later resume their studies, the effective withdrawal date shall be the date of the suspension.

Suspension of Progression – Research Students

- 24.** Where at the start of the next registration period a research student has outstanding obligations incurred in a previous registration period, he/she shall not be permitted to re-register for a further period until all such obligations are met.

Termination of Studies – Tuition Fees and Other Obligations – Research Students

- 25.** The Academic Registrar may terminate the studies of a research student if:-
- (i) the student has been suspended from their studies under the provisions of paragraph 20 hereof and has not paid all outstanding tuition fees within 6 months of their suspension or
 - (ii) the student has not been permitted to re-register on their research degree programme or to be assessed or awarded a degree and has not met all obligations by 31 July in the academic year following that in which the obligations were incurred.

- 26.** The Academic Registrar shall ensure that notification of termination of studies under the provisions of paragraph 25 hereof is sent to the student's last permanent address.
- 27.** Students whose studies have been terminated under the provisions of paragraph 25 hereof will not be eligible for any further assessment under any circumstances, but may in the case of students registered on the New Route PhD or EngD programmes subject to the general regulations applicable to those programmes be eligible for an award based on the Module Marks already obtained if all obligations are met at a later date.

Appeal Against Termination – Taught and Research Students

- 28.** Students whose studies have been terminated under the provisions of paragraph 17 or 25 hereof shall have the right to appeal to the Registrar. The appeal must be made in writing and must be made within 20 working days of the decision to terminate the student's studies.
- 29.** The Registrar or his/her nominee will respond within 20 working days of receipt of an appeal made under the provisions of paragraph 28 hereof.
- 30.** The Registrar shall either confirm the termination of studies or agree terms with the student for settling all obligations.
- 31.** Failure to adhere to any agreement reached in accordance with paragraph 30 hereof shall result in the immediate termination of the student's studies.
- 32.** There shall be no further right of appeal within the University.

(Made June 2004)

Appendix III

A. Presentation of Submission – Doctor of Philosophy, Master of Philosophy

1. Three copies of the work must be submitted to the Research Student Office, in the medium of English, except in accordance with paragraph 14 of the Regulations for Higher Degrees by Research. All text, which should be typed or printed, should be 1 1/2 spaced on A4 paper.

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 bound into the front of each copy of the thesis.

- (a) 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 for examination in soft covers in the format known as Perfect binding. When a thesis has been successfully examined it must be re-bound in accordance with the specification set out in Appendix IV. A research degree will not be awarded until the permanently bound copies have been deposited in the Research Student Office.

All ordinary text should normally appear only on the recto side of each sheet throughout the thesis. A candidate may opt to print text on both sides of the paper provided that the paper is of sufficient weight to ensure that the text is perfectly legible. Diagrams, tables or graphs incorporated into the thesis may be placed on the verso side of a sheet provided nothing appears on the recto side.

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 (c) Notice to claim copyright protection in all countries which are signatories to the Universal Copyright Convention.

- (b) 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.

- (c) For a submission which consists of a media production other than a conventional thesis the candidate, through their Director of Research or Head of Department, will apply to the Faculty Board at least six months before submission for permission to submit in a non thesis form. In considering their decision the Board 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.

- 2.** In addition to the submitted work the following must be submitted:
- (a) 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;
 - (b) three additional copies of the abstract, not bound into the submission, 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.
 - (c) a list of 6 to 10 'Key words' in order to assist the University Library to catalogue the submission.

3. The submission should not be of unnecessary length and must be presented in satisfactory literary form. It is the responsibility of the author to check the submission for spelling and accuracy.

4. One copy 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 VI).

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 Director of Research or Head of Department 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 Director of Research or Head of Department.

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

5. It should be noted that, in respect of a Restricted or Confidential submission, the author is himself/herself subject to the moratorium conditions; in respect of a desire to publish, this means seeking the prior approval of the relevant Director of Research or University Head of Department.

6. It is not necessary for students to attend Degree Congregations in order for their degrees to be conferred. In the absence of any instructions to the contrary a student's degree will be conferred in absentia at the next available Degree Congregation if he/she does not attend.

B. Presentation of Submission – Doctor of Engineering

1. Submission of Publications or Technical Reports

Four copies of the work must be submitted to the Research Student Office, in the medium of English. All text should be typed or printed. 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 bound into the front of each copy of the thesis.

- (a) 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 for examination in soft covers in the format known as Perfect binding. 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. When a thesis has been successfully examined it must be re-bound in a standard soft bound format according to a specification published by the EngD Centre. A research degree will not be awarded until the permanently bound copies have been deposited in the Research Student Office.

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 (c) Notice to claim copyright protection in all countries which are signatories to the Universal Copyright Convention.

2. Submission by Thesis

A submission for the award of EngD by research thesis shall be presented in accordance with the requirements of Appendix III section A except that four copies of the work must be presented to the Research Student Office.

3. In addition to the submitted work the following must be submitted:

- (a) 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;
- (b) three additional copies of the abstract, not bound into the submission, 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.
- (c) a list of 6 to 10 'Key words' in order to assist the University Library to catalogue the submission.

4. The submission should not be of unnecessary length and must be presented in satisfactory literary form. It is the responsibility of the author to check the submission for spelling and accuracy.

5. One copy 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).

6. The standard thesis access conditions will apply as above.

Degree Congregations

It is not necessary for students to attend Degree Congregations in order for their degrees to be conferred. In the absence of any instructions to the contrary a student's degree will be conferred in absentia at the next available Degree Congregation if he/she does not attend.

Appendix IV

A Binding Specification Thesis Presentation

1. **Bookcloth** Type: Buckram or similar
 Colour: Maroon (no code)

NB No blind tooling required

2. **Boards**
Grey Millboard for front and back boards, appropriate to A4 paper size (293mm x 206mm)
3. All pages to be sewn and glued. A left hand margin of about 3.5 cm must be kept when typing the thesis to allow for binding.
4. Upright gilt lettering 1 cm high on spine only indicating surname and initials, degree and year, e.g. SMITH, W.W. Ph.D., 1971, reading from top to bottom of spine. Surname to begin 4cm from the top and year to end 5cm from the bottom.
5. Time limit for completion to be agreed with binder.
6. One thesis access conditions form to be affixed within each copy so as to appear on the first recto page inside the outer cover, that is, in front of the flyleaf (see Appendix VI).

NB LIAISON TO BE DIRECTLY BETWEEN CANDIDATE AND THE BINDER

Appendix V

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 by Course [(a) Dissertation] Correct identification

(b) 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 VI



Thesis Access Form

Copy No Location

Author

Title

Status of access OPEN / RESTRICTED / CONFIDENTIAL.....

Moratorium period:years, ending/200

Conditions of access approved by (CAPITALS):

Director of Research (Signature)

Department of

Author's Declaration: I agree the following conditions:

OPEN access work shall be made available (in the University and externally) and reproduced as necessary at the discretion of the University Librarian or Head of Department. It may also be copied by the British Library in microfilm or other form for supply to requesting libraries or individuals, subject to an indication of intended use for non-publishing purposes in the following form, placed on the copy and on any covering document or label.

The statement itself shall apply to **ALL** copies including electronic copies:

This copy has been supplied on the understanding that it is copyright material and that no quotation from the thesis may be published without proper acknowledgement.

Restricted/confidential work: All access and any photocopying shall be strictly subject to written permission from the University Head of Department and any external sponsor, if any.

Author's signatureDate

users declaration: for signature during any Moratorium period((Not Open work):
I undertake to uphold the above conditions:

| Date | Name (CAPITALS) | Signature | Address |
|------|-----------------|-----------|---------|
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Appendix VII

| Thesis Submission | |
|--|--|
| Action | Timescale |
| <p>1. Student determines (with support of Supervisor, Director of Research and Head of Department) that thesis ready for submission and applies to Research Student Office for papers to submit thesis.</p> | <p>Earliest – 3 months prior to completion of standard period of registration, unless special permission for early submission is sought.</p> <p>Latest – 3 months before thesis due to be submitted and before extension period lapses.</p> <p>Early and late submissions require approval of the AD(R).</p> |
| <p>2. Research Student Office checks student's eligibility</p> <ul style="list-style-type: none"> – has standard period been completed? – has registration lapsed? – is the student in Debt? <p>(Debtors not permitted to submit)</p> | <p>Immediately on application</p> <p>Debt position may be re-checked</p> |
| <p>3. Subject to eligibility, papers issued to student:</p> <ul style="list-style-type: none"> i) Intention to submit and Appointment of Examiners Form ii) Form for Degree Congregation Programme Entry iii) Thesis Access Form iv) Certificate of Originality v) Information of Binding vi) British Library Thesis Agreement Form. (PhD Only) | <p>Immediately on application</p> |
| <p>4. Student and Department complete papers and return to Research Student Office</p> | <p>As soon as possible and within one month at the latest</p> |
| <p>5. Research Student Office forwards papers to AD(R) for approval</p> | <p>As required</p> |
| <p>6. When AD(R) approves appointment of examiners, student and examiners are notified</p> | <p>Following approval</p> |
| <p>7. Thesis submitted, recorded on database and if all above steps accomplished, sent out</p> | <p>24 - 48 Hours</p> |

Appendix VIII

Guidelines on the Transfer of Research Students Between Universities

- 1.** The transfer of research students between Universities is normally associated with the appointment of their 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 shall be made clear at the outset.
- 2.** There are no nationality agreed protocols for the transfer of students. Each University may therefore have procedures which cannot be covered in this document.

3. Transfers from Loughborough University

- (i) where a member of staff responsible for the supervision of research students is appointed to another University the research students' position must be addressed at the earliest opportunity. The Research Student Office should be notified at the outset of any discussions.
- (ii) It shall be the supervisor's responsibility to consult with the students as to their wish either to remain at Loughborough University or to transfer.
- (iii) It shall be the 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 Research Student Office on request. The receiving University will be asked to supply written confirmation that the student has been accepted.
- (iv) It shall be the supervisor's responsibility to liaise with the student's sponsoring body regarding transferring registration 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 on writing.

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

- (v) The transfer of any students shall be subject to the agreement of the Head of Department. Where a student is unwilling or unable to transfer to another institution, the department shall make every possible attempt to appoint a replacement supervisor within or outside the department. The particular funding arrangements will require individual negotiation.
- (vi) If a student wishes to initiate a transfer for reasons other than accompanying their supervisor, then every effort should be made by the department in conjunction with the Research Student Office to assist them in accomplishing the above procedures. In case of difficulties students should be referred to the Research Student Office.

4. Transfers to Loughborough University

- (i) All transfers to the University involving credit for research commenced elsewhere shall be subject to the approval of the Faculty Board and Senate. It will be expected that research training has been accomplished otherwise this will be required.
- (ii) 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.
- (iii) The Research Student Office should be alerted at an early stage of any potential transfer.
- (iv) The following documentation must be provided by the incoming supervisor or by the student 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 student is transferring for reasons other than joining a supervisor, the circumstances should be made clear.
- (v) The application form shall be submitted to the department, and subject to their agreement, the case will be made to the Faculty Board and Senate via the Research Student Office.

Once the case for credit transfer has been approved a formal offer will be issued.

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