

# University Governance

## University Regulations

### Regulation XXVI

---

#### Research Degree Programmes

*(Version effective from 1 August 2017 until 31 July 2018)*

#### 1. Scope

1.1 This regulation applies to all programmes of study leading to the award of Doctoral Degrees as designated in Ordinance IV and also to programmes leading to the award of the degree of Master of Philosophy.

1.2 Requirements for the award of Higher Doctorates will be found in Regulation XXVII.

1.3 This Regulation should be read in conjunction with the [University Code of Practice on Research Degree Programmes](#).

1.4 The interpretation of these Regulations, in the case of disagreement, shall be the responsibility of the Academic Registrar.

1.5 The University offers programmes leading to the following research degree awards:

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

#### 2. Admissions Requirements

2.1 Research Students must normally possess a minimum of an upper second class bachelor degree or equivalent qualifications and experience together with an English Language qualification acceptable to the University.

2.2 Requirements for individual research programmes will be set by the Director of Doctoral Programmes of the relevant School and may exceed the requirements in paragraph 2.1.

2.3 Recommendations for admission to a research degree programme based on the School's academic criteria will be made by the Director of Doctoral Programmes who will nominate a principal and at least one second supervisor for each student, normally from the academic staff of the University.

2.4 The Academic Registry will authorise final offers to applicants in accordance with the University's Admissions Policy and will confirm the following to the student:

- (a) The programme to which the offer relates, its start date and its duration
- (b) The names of the supervisors
- (c) Any conditions which must be met before the student will be permitted to register

2.5 Research Degree programmes may commence on the following start dates:

1 October, 1 January, 1 April and 1 July

2.6 Special arrangements for admission and completion of a PhD are available to current University staff and former students of the University who meet specific criteria and who have the approval of a School which is able to provide appropriate supervision. These special arrangements are set out in paragraphs 7 and 8.

### 3. Structure of Research Degree Programmes

3.1 The required periods of registration for Research Degree Programmes are as follows and during these periods tuition fees are payable:

Master of Philosophy	Two Years Full-Time Four Years Part-Time
Doctor of Philosophy	Normally Three Years Full-Time and Six Years Part-Time but may be Four Years Full-Time and Eight Years Part-Time for specific programmes with additional requirements set out in later paragraphs of this Regulation.  Part-Time students who registered before 1 October 2017 and staff, including Postgraduate Teaching Assistants, who register on or after 1 October 2017 may have a part-time period of study of five years unless registering under Paragraph 7.
Doctor of Engineering	Four Years Full-Time Eight Years Part-Time

3.2 Research Degree Programmes are divided into Parts as follows:

Part	Degrees for which it is required	Normal Duration
Part R0	Four Year PhDs and EngD	12 months Full-Time 24 months Part-Time
Part R1	MPhil Three Year PhDs Four Year PhDs and EngD	12 months Full-Time 24 months Part-Time
Part R2	MPhil Three Year PhDs Four Year PhDs and EngD	12 months Full-Time 24 months Part-Time
Part R3	Three Year PhDs Four Year PhDs and EngD	12 months Full-Time 24 months Part-Time

MPhil students are therefore required to complete Parts R1 and R2 and PhD students are normally required to complete Parts R1, R2 and R3. Students on Four Year PhD programmes and EngD programmes are required to complete Parts R0, R1, R2 and R3.

3.3 Research students may be required to attend activities related to the University's responsibilities under health and safety legislation and may also be required to undertake research training relevant to their discipline and transferable skills training.

3.4 Before the end of each Part relevant to their programme of study, each research student will be assessed on their progress according to the criteria for passing the Part (see paragraph 5) and they will not be permitted to progress to the next Part until the relevant criteria have been met. Failure to meet the criteria for progression will result in amendment of registration from PhD to MPhil or in termination of studies by the relevant Research Student Progression Board in accordance with paragraph 6.4.

3.5 In exceptional circumstances, students whose progress has been unusually rapid may submit for their final award early but such submissions will only be examined where the student has progressed to the final Part of their programme, early submission has been identified as a possibility by the Research Student Progression Board of the School and the final submission has been approved by the student's supervisors.

3.6 The periods of registration required for each degree above may only be varied after a student has commenced their studies on the recommendation of the relevant Progression Board established under paragraph 6. This includes an increase in the period of tuition fee-paying registration. It also includes the granting of a period of extension of registration of up to 12 months for completion of the thesis, or in exceptional circumstances, for a longer period. An administrative fee only will be payable during the latter type of extension period. Whether such extensions for completion of the thesis are available on a specialised four year programme will be set out in the regulations for the programme concerned.

3.7 The criteria for research degree awards are set out in paragraph 11.

#### **4. Registration**

4.1 Research students will be registered from the outset for the qualification they are aiming for which will be either MPhil, PhD or EngD.

4.2 New research students must normally register on or within 14 days of the start date notified in their offer letter.

4.3 Subject to satisfactory academic progress and payment of tuition fees for the previous year in accordance with the provisions of Regulation XVI, research students must re-register each year on the anniversary of the start date. Students will be permitted to re-register whilst they are revising a progress report to fulfil the requirements of their Research Student Progression Board in accordance with paragraph 6.4.

4.4 Research students may take Leave of Absence from their programme in accordance with the provisions of paragraphs 34 to 38 of Regulation IX. The Director of Doctoral Programmes will act as the nominee of the Dean of School in the case of Leave of Absence requests from research students. Leave of Absence will normally apply only during the period of tuition fee-paying registration stipulated for the relevant degree under paragraph 3.1 above or during any increase in this period required by a Progression Board. It will be appropriate where a student wishes to take maternity leave, paternity leave or other parental leave and in cases of prolonged ill health. Requests on the grounds of difficult personal circumstances will also be considered. In exceptional circumstances, Leave of Absence for the purposes of short term employment, temporary lectureships, exchanges, voluntary service or expeditions/sport will also be considered. Leave of Absence during the extension period referred to in paragraph 3.6 will not normally be considered except on the grounds of ill health. Further details will be found in the [Code of Practice on Research Degree Programmes](#).

#### **4.5 Location of Research**

4.5.1 Research shall normally be carried out in the University, but a Director of Doctoral Programmes may, at his/her discretion, approve arrangements for a programme of research principally located other than in the University provided that he/she is satisfied:

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

4.5.2 All students shall be required to attend the University for such periods and on such occasions as the appropriate School shall specify.

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

#### **4.6 Students registering before 1 October 2012**

The registration and initial progression requirements for such students will be found in Annex 1.

#### 4.7 Late Re-Registration and Failure to Re-Register

4.7.1 Students who fail to re-register within one month without good reason will be charged a late registration fee.

4.7.2 Students who fail to re-register may be deemed to have abandoned their studies.

#### 5. Assessment of Progress

5.1 The progress of research students will be assessed during and at the end of each Part relevant to their programme of study as defined in paragraph 3 above. Attendance and engagement will also be monitored on an ongoing basis through supervisory meetings. Should major concerns arise between scheduled assessment points for the student's Part, supervisors may refer a student to the Director of Doctoral Programmes or their nominee who, acting on behalf of the Dean of School, may invoke the procedures for Termination of Studies for Failure to Participate as set out in Paragraphs 22 to 25 of Regulation IX.

5.2 The submissions required of students and the criteria by which they will be judged for each Part are set out in the table below (also see paragraph 5.5 for modifications for Part-Time students):

Part	Timing and Submissions Required	Assessment Process and Criteria
R0 (if applicable)	As set out in the regulations for the specific programme	As set out in the regulations for the specific programme
R1 (applicable to all research students)	<p>6 months (or 12 months for Part-Time students) – written report of at least 2,000 words outlining progress with literature review, the thesis plan and the definition of the research question(s).</p> <p>The progress of Part-Time students should be reviewed at 6 months to ensure acceptable progress is being made.</p> <p>Approximately 10-11 months - Written report of at least 10,000 words or equivalent output including plan and timetable for completion and separate details of research and transferable skills training.</p> <p>For 4 year PhD and EngD programmes any other requirements set out in the regulations for the specific programme.</p>	<p>Director of Doctoral Programmes or another member of staff nominated by Dean will review report to ensure the student is engaging with the programme and a research plan is in place and underway. A report based on this process will be submitted to the Progress Review Board with one of the recommendations set out in paragraph 6.4 below.</p> <p>Output will be assessed by at least one independent reviewer including a progress review meeting with the student. A report based on this process will be submitted to the Progress Review Board with one of the recommendations set out in paragraph 6.4 below.</p> <p>The Board also receives a report from the student's supervisors on their view of progress.</p> <p>Assessment arrangements for any additional requirements will be as set out in the regulations for the specific programme.</p>
R2 (MPhil students)	<p>MPhil students - R2 concludes with completion of the examination of the MPhil thesis.</p> <p>Where the thesis will not be ready for submission by the end of the student's period of study the student should produce a further</p>	<p>Assessment of the final thesis is by the appointed examiners as set out in Para 12 below.</p> <p>Output will be assessed by at least one independent reviewer including a progress review meeting with the student. The</p>

	<p>written report including a clear plan for submission of the thesis within an extension period of no more than 12 months beyond the end of the original period of study.</p>	<p>reviewer will assess whether the report provides to a satisfactory standard a clear definition of the research question and methodology, a literature review, research outcomes achieved and a detailed plan for completion of the work required for submission within a maximum of the 12 month extension period. A report based on this process will be submitted to the Progress Review Board with one of the recommendations set out in para 6.4 below.</p> <p>The Board also receives a report from the student's supervisors on their view of progress.</p>
R2 (PhD students)	<p>Further written report of at least 10,000 words or equivalent including timescale for completion and separate details of research and transferable skills training.</p> <p>For 4 year PhD and EngD programmes any other requirements set out in the regulations for the specific programme.</p>	<p>Output will be assessed by at least one independent reviewer including a progress review meeting with the student. The reviewer will assess whether the report provides to a satisfactory standard a clear definition of the research question and methodology, a literature review, research outcomes achieved and a detailed plan of the research to be undertaken in R3. A report based on this process will be submitted to the Progress Review Board with one of the recommendations set out in para 6.4 below.</p> <p>The Board also receives a report from the student's supervisors on their view of progress.</p> <p>Assessment arrangements for any additional requirements will be as set out in the regulations for the specific programme</p>
R3 (applicable to all research students except those registered for an MPhil)	<p>R3 concludes with successful examination of the PhD thesis (or equivalent final submission for the specific programme).</p> <p>Where the thesis (or equivalent) will not be ready for submission by the end of the student's period of study the student should produce a further written report including a clear plan for submission of the thesis within an extension period of no more than 12 months beyond the end of the original period of study.</p>	<p>Assessment of the final thesis is by the appointed examiners as set out in Para 12 below.</p> <p>Output will be assessed by at least one independent reviewer including a progress review meeting with the student. The reviewer will assess whether the report provides to a satisfactory standard a clear definition of the research question(s) and methodology, a literature review, research outcomes achieved and a detailed plan of the work</p>

required for submission within a maximum of the 12 month extension period. A report based on this process will be submitted to the Progress Review Board with one of the recommendations set out in para 6.4 below.

The Board also receives a report from the student's supervisors on their view of progress.

Assessment arrangements for any additional requirements will be as set out in the regulations for the specific programme.

5.3 Exceptionally, students, who after 6 months of the maximum 12 month extension period permitted in R3, expect to be unable to submit within the 12 month extension period, may make a request to the Progression Board for additional time not exceeding 12 months.

5.4 Full details of the above requirements and procedures are set out in the [Code of Practice on Research Degree programmes](#).

5.5 Part-Time students will be required to produce progress reports of at least 5,000 words at the mid-way point of Parts R2 and R3 (typically every 12 months) which will be reviewed in the same way as the end of Part reports and the outcome of the mid Part reviews will be submitted to the Progression Board. The report submitted for progression from Part R2 to Part R3 may be less than 10,000 words. Taken together with previous progress reports the R2 progression report must, however, demonstrate similar progress as that required of a Full-Time student at the end of Part R2.

## 6. Composition and Powers of Research Student Progression Boards

6.1 Each School shall designate one or more Research Student Progression Boards which shall exercise powers delegated by the Senate in relation to the progress of research students on their programmes of study.

Research Student Progression Boards shall normally have the following composition:

- Associate Dean (Research) for the School
- Director of Doctoral Programmes for the School (Chair)
- Deputy Director(s) of Doctoral Programmes for the School

6.2 Specialist research degree programmes may have their own Progression Boards and the composition may vary from the above but the Director of Doctoral Programmes for the School or Schools involved (or their Deputy) should be full members of the Board. Where the School Progress Review Board is used, the Programme Director for the specialist programme shall also be a member of the Board.

6.3 Research Student Progression Board meetings will normally be held approximately quarterly to review the progress of students depending on their start dates.

6.4 The Board will consider reports on the progress of each student from the independent reviewer and from the supervisors which have been written in accordance with the procedures set out in paragraph 5. above. The Board shall make one of the following decisions in respect of each student:

6.4.1 That the student has made satisfactory progress and may progress to the next Part or continue on their current Part in the case of a mid-Part review.

6.4.2 For students in their final Part (MPhil students on Part R2 or doctoral students on Part R3) who have not yet submitted their thesis or equivalent by the end of their original period of study, that they should be allowed an extension (non-tuition fee paying) of a maximum of 12 months beyond the current end date of their final Part.

6.4.3 That progress is not satisfactory and the student should be given one further attempt to meet the requirements for progression to the next Part, continue on the current Part in the case of mid-Part reviews or to be granted an extension. The time period allowed for resubmission will normally be three months for Full-Time students or six months for Part-Time students and during this period students will be permitted to re-register. The Progression Board will set out its requirements for the further submission which will be reviewed again in accordance with the criteria and procedure used for the original assessment. Further reports from the independent reviewer and from the supervisors will also be produced for consideration by the Board.

6.4.4 That, following consideration of progress reports on further work required under paragraph 6.4.3, the progress of a PhD student is not satisfactory in relation to completion of a PhD but is satisfactory for completion of an MPhil and that the registration of the student should therefore be amended from PhD to MPhil.

6.4.5 That, following consideration of progress reports on further work required under paragraph 6.4.3, progress is not satisfactory and that the registration of the student should be terminated.

6.5 Students have the right to one opportunity to undertake further work under paragraph 6.4.3 if their original submission is considered to be unsatisfactory by the Board. A further attempt beyond this may only be offered by the Board if there are clearly documented and substantial mitigating circumstances.

6.6 The period permitted for further work under paragraph 6.4.3 may, exceptionally, be increased in the case of clearly documented and substantial mitigating circumstances but should not exceed six months for Full-Time students or 12 months for Part-Time students.

6.7 A student whose registration has been amended from PhD to MPhil under paragraph 6.4.4 or whose studies have been terminated under paragraph 6.4.5 above may appeal against the decision of the Board in accordance with the procedure set out in para 15 of this Regulation.

6.8 All students will receive a written report on their progress from the Progression Board which will normally include reports from the independent reviewer and the supervisors and will be provided on an annual basis.

## **7. Staff candidates for a Research Degree**

Any member of the University staff of at least five years' standing may, subject to the provisions of paragraph 2, and subject to the agreement of their Dean of School/Head of Service or nominee and of the Director of Doctoral Programmes of the School in which they will be registered (if different) register for a research degree of the University by research thesis, published work or other academic output which must all relate to a common field. This route will only be considered when the staff member has already completed a significant body of research work of an appropriate standard.

Students 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 by research thesis or publication or other academic output. The Director of Doctoral Programmes in the School in which the student will be based shall determine the period of study appropriate to the circumstances. All students shall have two Supervisors.. Students submitting for an award by publications shall pay an examination fee at a level determined by Council. All students shall pay a tuition fee.

## **8. Former Students of the University**

Any graduate of the University or its constituent colleges who holds an equivalent qualification may notify the Director of Doctoral Programmes of the relevant School of their wish to submit for the degree of Doctor of Philosophy by published work which must all relate to a common field. Any such candidates must meet the requirements of paragraph 2 and admission is subject to the agreement of the Director of Doctoral Programmes. Graduates must be of at least eight years' standing before their application and Master's graduates must be of four years' standing

Students 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. The Director of Doctoral Programmes in the School in which the student will be based shall determine the period of study appropriate to the circumstances. All students shall have two Supervisors. Students submitting for an award by publications shall pay an examination fee at a level determined by Council.

## 9. Submission for Final Examination

9.1 Students must notify the University of their intention to submit for their final examination for a research degree in good time and normally at least three months before the intended submission date.

9.2 Submitted work for a research degree of the University must be submitted in the form specified by the University [Code of Practice for Research Degree Programmes](#) and is subject to [Ordinance XXXIX](#). Each student 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.

9.3 The student must certify that neither the submission nor the original work contained therein has been submitted for an award of this or any other degree awarding body, except in accordance with an agreement between universities.

9.4 Any submission subsequently published must include a statement that it has been submitted for a research degree of the University.

## 10. Examination Arrangements

10.1 When a student admitted under the standard provisions of paragraph 2 has notified his/her intention to submit for final examination, the Associate Dean (Research) of the School shall appoint Examiners on the recommendation of the student's Supervisors. For the degree of Master of Philosophy or the degree of Doctor of Philosophy, two Examiners shall normally be appointed of whom at least one shall be an External Examiner and neither of whom has had any supervisory relationship with the student. Supervisors may attend the viva voce examination as Observers unless the student objects. In circumstances where it is felt appropriate to appoint two External Examiners and no Internal Examiner, an independent non-examining chair of the oral examination panel shall be appointed. In exceptional circumstances, a third examiner who may be internal or external may be appointed where this is considered necessary to provide relevant academic expertise.

10.2 When a member of staff or former student admitted under paragraph 7 or paragraph 8 has been given permission to submit for the degree of Doctor of Philosophy, the Director of Doctoral Programmes of the School, on the recommendation of the student's Supervisors, shall appoint two External Examiners and an independent non-examining chair of the oral examination panel.

10.3 For a research degree the basis of the assessment shall be submitted work as set out in the [Code of Practice on Research Degree programmes](#) or regulations for specific programmes (except as provided for in paragraphs 7 and 8) in conjunction with an oral examination.

10.4 Attendance at an oral examination by the student may be waived only by the Director of the Doctoral College with the advice of the student's supervisors. In the case where attendance at the oral examination is waived a second or third External Examiner shall be appointed as considered appropriate.

10.5 Criteria for the appointment of examiners and independent non-examining chairs and for the conduct of oral examinations are set out in the [Code of Practice on Research Degree Programmes](#).

## 11. Criteria for Awards

### 11.1 Master of Philosophy (MPhil)

11.1.1 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. Students are advised not to exceed 50,000 words or their adjudged equivalent for a Master's thesis

11.1.2 The student 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.

### 11.2 Doctor of Philosophy (PhD)

11.2.1 The thesis should be presented in satisfactory literary form (including references, notes and bibliography, as appropriate) and should not be of unnecessary length. Students are advised not to exceed 80,000 words or their adjudged equivalent for a Doctoral thesis.

11.2.2 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.

11.2.3 In addition the student is expected to satisfy the examiners that he/she is well acquainted with the general field of knowledge to which his/her subject relates.

### **11.3 Doctor of Engineering (EngD)**

11.3.1 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 16 of Regulation XXVI. The examination shall be conducted by two External and one Internal Examiners. The student's academic/industrial Supervisors may attend as Observers, unless the student objects to their attendance.

11.3.2 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. 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.

11.3.3 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.

11.3.4 In addition the student is expected to satisfy the Examiners that he/she is well acquainted with the general field of knowledge to which his/her subject relates.

## **12. Recommendations of Examiners**

12.1 The decision of the Examiners shall be one of the following:

- Pass (with or without corrections required)
- Refer
- Fail

The Examiners may also decide that work submitted for the degree of Ph.D. has reached the required standard for the award of the degree of Master of Philosophy with or without corrections.

Where the Examiners recommend a pass but 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 six months of the student being informed of the necessary corrections.

12.2 In the case of pass with corrections required the Internal Examiner will be responsible for confirming in writing to the Academic Registry that the corrections have been satisfactorily completed.

12.3 In any case where 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 Academic Registry following the re-examination.

12.4 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.

12.5 A student 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 Academic Registry.

12.6 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.

12.7 In the event that a candidate whose thesis has been referred is required to attend a further oral examination, or where a student is required to attend a further oral examination following an appeal in accordance with paragraph 15.9, an independent non-examining chair of the viva panel shall be appointed.

12.8 In the case of a candidate submitting for the degree of Ph.D. who satisfied the requirements for the degree of Master of Philosophy only, the award of the degree of Master of Philosophy shall not be made unless the student shall have agreed in writing that such an award is acceptable. If the student does not accept the award of the degree of Master of Philosophy he/she shall be held to have failed and the student may exercise the right of appeal against the decision of the examiners as provided in paragraph 15 hereof. However, should the Appeal body reject the appeal, the student 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.

### **13. Unsuccessful Students**

13.1 Any student submitting for a research degree for whom the Examiners' decision is "Fail" shall not thereby be prevented from registering anew under these Regulations, except where significant academic misconduct has been proven, in which case registering anew will not be permitted. Any student submitting under para. 7 or para. 8 of these Regulations for whom the Examiners' decision is "Fail" may not resubmit for a research degree within a period of two years from the date of examination nor at any time where the Examiners have found significant misconduct to be proven.

### **14. Academic Misconduct**

#### **14.1 Scope**

This Regulation shall apply to all students registered on research degree programmes of the University.

#### **14.2 Definition**

It is academic misconduct for any student to engage in one or more of the following activities:

- Assisting another student to gain an advantage by unfair means, or receiving such assistance, for example by impersonation or the passing off of one individual's work as another's.
- Misleading the examiners by the fabrication or falsification of data.
- Plagiarism; namely submitting work as the student's own of which the student is not the author. This includes failure to acknowledge clearly and explicitly the ideas, words or work of another person whether these are published or unpublished.
- Engaging in any other activity likely to give an unfair advantage to any student.

#### **Misconduct Prior to Submission for a Research Degree Award**

14.3 Any circumstances which come to light prior to submission of work for a research degree which suggest that academic misconduct has taken place shall be reported to the Director of Doctoral Programmes of the School.

14.4 The relevant Associate Dean (Research) of the School shall consider in conjunction with the Academic Registrar or nominee whether any action shall be taken, whether appropriate action can be taken initially within the School or whether the matter should be referred to the Academic Misconduct Committee as constituted in paragraph 14.13 of these regulations.

14.5 Where the Academic Registrar and the Associate Dean (Research) conclude that action should be taken, the Academic Registrar shall either refer the case for action by the relevant Associate Dean (Research) or to the

Academic Misconduct Committee, depending on the severity and circumstances of the case, including whether it is a repeat offence.

14.6 In the event that the case is referred for action to the Associate Dean (Research) students shall be notified in writing of the alleged offence and the evidence against them by the relevant Associate Dean (Research). Students shall be invited to admit or deny the allegation and be permitted to defend themselves in writing and in person, accompanied by an individual of their own choosing. Any written defence or request to be heard in person, including the name and status of any accompanying individual, must be received by the relevant Associate Dean (Research) within five working days of the notification of the alleged misconduct.

14.7 Having taken into account the evidence and the defence, if any, the relevant the Associate Dean (Research) shall decide whether the student is guilty of the offence, and if so, the appropriate penalty. In determining the penalty, the relevant Associate Dean (Research) shall take into account the extent to which the circumstances suggest the student intended to obtain an unfair advantage for himself/herself or another. The student shall be notified in writing of the decision of the relevant Associate Dean (Research) and of the penalty, if one is to be applied, within fifteen working days of the student being notified of the allegation. S/he shall also be notified of the right to appeal.

### **Penalties**

14.8 The relevant Associate Dean (Research) shall be empowered to impose one or more of the following penalties:

- The issue of a formal reprimand which shall be notified to the student and reported to the Academic Registry.
- The correction and re-presentation of any relevant work.

### **Appeals – Academic Misconduct**

14.9 Students found guilty of offences shall have the right of appeal against the decision of the relevant Associate Dean (Research). Appeals should be submitted in writing to the Academic Registrar or nominee within 10 working days of the student receiving notification of the decision of the relevant Associate Dean (Research), and should set out the grounds for, and nature of the appeal together with any evidence. Possible grounds for appeal include:

- that there were serious circumstances affecting the student of which the relevant Associate Dean (Research) was not made aware when the decision was taken.
- that there were procedural irregularities in the conduct of the investigation.
- that there is evidence of prejudice or bias against the student on the part of one or more of those involved in the case.
- that the penalty imposed was disproportionate to the offence.

The Academic Registrar or nominee may request further information or evidence from the student. The appeal will then be referred, together with the original documentation relating to the allegation of academic misconduct, to an Appeal Committee as constituted in paragraph 15.4 of Regulation XXVI.

14.10 The Appeal Committee shall review the case and may request further information from the student or from the relevant Associate Dean (Research). The Committee may confirm, set aside or amend the decision of the relevant Associate Dean (Research) and may confirm, increase or decrease any penalty imposed. In exceptional circumstances, if it is deemed appropriate, the Committee may refer the case to a full meeting of the Academic Misconduct Appeals Committee. The Committee shall convey its decision in writing to the student within 15 working days of receipt of the complete appeal documentation from the student by the Secretary of the Appeals Committee. The decision of the Committee shall be final.

### **Academic Misconduct following Submission for a Research Degree Award**

14.11 Any circumstances which come to light following the submission of work for a research degree to suggest that academic misconduct has taken place shall be reported in writing immediately to the Associate Dean (Research) of the School which the student is registered and to the Academic Registrar or nominee. The examination process will be suspended pending an investigation.

14.12 The Associate Dean (Research) shall thereupon investigate and decide in consultation with the Academic Registrar or nominee whether there is prima facie a case for the student to answer. If the Associate Dean (Research) decides there is not a prima facie case to answer, the matter shall proceed no further and the examination process shall continue. If the Associate Dean (Research) decides that there is prima facie a case to answer, the evidence shall be referred without delay to the student. The student shall provide a written response within 14 working days. The evidence and the student's response shall be forwarded to the Academic Misconduct Committee for investigation.

14.13 The Academic Misconduct Committee shall comprise:

- The Director of the Doctoral College or the Pro-Vice-Chancellor (Research) or an Associate Dean (Research) from a School other than the student's own (Chair)
- Three Associate Deans (Research) or members of Senate (not being students) who have had no academic involvement with the student concerned and are members of Schools other than the student's own, nominated by the Pro-Vice-Chancellor for Research
- One University member of the LSU Executive nominated by the Executive

The Academic Registrar shall appoint a member of the Academic Registry to act as Secretary to the panel.

14.14 The panel shall receive the written evidence relating to the alleged misconduct and the student's response. The panel shall seek written advice from the student's Supervisor and Associate Dean (Research) and may call upon other persons to present evidence in writing and/or in person.

The student shall have the right to appear in person before the panel and to be accompanied by a person of their own choosing.

The student shall have the right to call witnesses for examination at the meeting.

Any mitigating circumstances raised in defence by a student will normally be considered only if supporting documentary evidence is provided.

14.15 If the Committee decides that there is not a case to answer, no further action shall be taken.

If the Committee finds irregularities which it does not consider serious academic misconduct, it shall report its findings to the Examiners

If the Committee finds serious academic misconduct to be proven, it shall terminate the student's studies.

14.16 The Examiners shall take account of all written evidence in reaching their decision on the submission.

14.17 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.

## 15. Appeals

15.1 In the event of termination of studies or a "fail" outcome following the examination of a thesis or the imposition of a penalty in relation to academic misconduct proceedings, the student may appeal through the appeal procedures applicable to research degree programmes set out in this paragraph.

### Appeals for Failed Submissions

15.2 A research student (including a student submitting under either Paragraph 7 or 8 of these Regulations) for whom the Examiners' decision is "fail" may lodge a written appeal with supporting evidence, with the Academic Registrar or nominee within 14 working days of being informed of the result of the examination. The grounds for such an appeal shall be set out in writing and shall be confined to one or more of the following:

(i) that there existed at the time of the examination circumstances affecting the student's performance of which the examiners had not been made aware when their decision was taken. Where a student has not previously raised these circumstances with their supervisor then they must demonstrate good cause for not doing so. In the event the student cannot demonstrate good cause in the opinion of the Academic Registrar their appeal on these grounds will not be considered further. Students will normally be notified within 5 working days of the receipt of the completed

appeal documentation whether they have demonstrated good cause and whether their appeal will proceed to a hearing.

(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 student or of inadequate assessment on the part of one or more of the examiners.

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

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

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

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

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

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

15.8 The Appeal Committee shall determine its own procedure within the framework set out in the [Code of Practice on Appeals](#) and may take such advice as it considers appropriate.

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

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

- a) to direct the Examiners to re-consider their decision for the reasons stated and to report their decision to the Appeal Committee which shall then determine the appeal in the light of such re-consideration; and/or
- b) to give the student permission to revise the thesis and re-submit for re-examination by the Examiners within a time limit specified by the Appeal Committee; and/or
- c) to annul the examination and direct that a fresh examination be conducted.

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

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

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

15.11 An Appeal Committee shall be nominated in accordance with the arrangements in paragraphs 15.4 and 15.5. A student wishing to exercise his/her right of appeal under paragraph 5.1 or 6.7 of these Regulations must lodge his/her appeal in writing (within 14 working days of receiving notice in writing of the decision by his/her Dean of School against which he/she is intending to appeal) with the Academic Registrar or his/her nominee. Any appeal shall be heard by the Appeal Committee as soon as is convenient and in any case normally not later than 40 days after the lodging of the appeal. The Appeal Committee shall determine its own method of proceeding within the framework set out in the [Code of Practice for Appeals](#).

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

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

(i) that there were serious circumstances affecting the student of which the Dean of the School or Progress review panel were not aware when a decision was made. Where a student has not previously raised these circumstances with their supervisor then they must demonstrate good cause for not doing so. In the event the student cannot demonstrate good cause in the opinion of the Academic Registrar their appeal on these grounds will not be considered further. Students will normally be notified within 5 working days of the receipt of the completed appeal documentation whether they have demonstrated good cause and whether their appeal will proceed to a hearing.

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

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

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

## 16. Regulations for the Degree of Doctor of Engineering (EngD)

16.1 Students registering for the degree of Doctor of Engineering must possess at least an upper second class honours degree, or equivalent qualification and professional experience.

16.2 Students 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 student already possesses an appropriate MSc or industrial experience. Such students 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 student withdraws or is required to withdraw from the programme prior to the successful completion of the research element of the programme and has obtained sufficient modular credit to enable a taught qualification to be awarded.

16.3 Eligible students 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.

16.4 Students shall be registered at the outset for the degree of EngD. Registration shall normally be with effect from 1 October.

16.5 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.

16.6 Students 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 16.2 of these Regulations.

16.7 All students 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. Students are not eligible to register for modules whilst they remain in debt to the University.

16.8 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.

16.9 An External Programme Assessor shall be appointed for the curriculum-based element of the EngD programme in accordance with Regulation XXII.

16.10 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.

16.11 Students 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 16.2 of these Regulations.

16.12 Subject to the provisions of paragraph 16.2, students 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.

16.13 Subject to the provisions of paragraph 16.2, students not meeting the above requirements, or whose progress in research is unsatisfactory, 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. Students who accumulate 60 credits shall be eligible for the award of Postgraduate Certificate.

16.14 The Degree of Master of Science, Postgraduate Diploma 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 student.

16.15 Students who have satisfied the requirements for the award of the Degree of Master of Science may be awarded the degree with Merit or Distinction in accordance with the scheme set out in Regulation XXI.

16.16 The School shall appoint for each student an industrial supervisor and an industry-based project Co-ordinator in addition to a principal supervisor who is a member of the academic staff at the University and a Director of Doctoral Programmes.

16.17 Students shall re-register annually. 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 student of not less than 5000 words or its adjudged equivalent. Decisions on research progress will be taken by the Progression Board following consideration of reports from an independent reviewer following an oral examination and from the supervisors in accordance with paragraph 6.4 above.

16.18 Throughout the programme of study students shall undertake a research project or series of research projects. Students shall normally spend a significant amount of time working on the project(s) in a participating engineering company or companies.

16.19 Lack of satisfactory progress in either the curriculum based element of the programme or the research project will mean that the student will not be permitted to continue to pursue the programme of study. At the end of year 2 (Part R1) the Programme Board shall consider the progress of students on the basis of their performance in the curriculum based element and research element of the programme and the students shall either:

16.19.1 be permitted to continue with EngD programme;

**OR**

16.19.2 be required to withdraw from the EngD;

**OR**

16.19.3 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**

16.19.4 be required to withdraw from the EngD but be awarded an appropriate Postgraduate Diploma/Postgraduate Certificate. This applies where a student has not completed the dissertation requirements for the award of an MSc;

**OR**

16.19.5 be required to withdraw from the EngD but be encouraged to register for the degree of Master of Philosophy.

16.20 For the degree of EngD the basis of assessment, following satisfactory completion of the curriculum-based element, shall be one of the following:

16.20.1 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.

16.20.2 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.

16.20.3 a research thesis.

An Annex to the Programme Specification for the curriculum-based component shall specify which of the above routes are available to students for the EngD and the procedure for clarifying the route to be pursued.

16.21 When an eligible student has notified his/her intention to make a submission the Associate Dean (Research) shall appoint examiners. There shall be a least two external examiners in addition to the internal examiner.

16.22 In order to be eligible for the award of the degree of Doctor of Engineering, students must demonstrate innovation in the application of knowledge to the engineering business environment. In addition they must demonstrate the following competences:

1. Expert knowledge of an engineering area;
2. The appreciation of industrial engineering and development culture;
3. Project and programme management skills;
4. Teamwork and leadership skills;
5. Oral and written communication skills;
6. Technical organisational skills;
7. Financial engineering project planning and control;
8. The ability to apply their skills to new and unusual situations;
9. The ability to seek optimal, viable solutions to multi-faceted engineering problems and to search out relevant information sources.

For all students 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.

16.23 The term research student shall be taken to apply to all Research Engineers registered on the EngD programme. The provisions of the Regulation XXVI shall apply to all students except as provided for in the foregoing paragraphs.

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

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

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

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

17.4 Students shall be registered at the outset for the degree of PhD. Registration shall normally be with effect from 1 October, 1 January, 1 April or 1 July.

17.5 Programme Regulations shall be published for the taught element of the programme 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 Students are required to register for modules with a maximum total modular weighting of 120 credits within a period of time specified in the Programme Regulations.

17.7 All students 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 in accordance with para. 4.5 of Regulation XXVI. Students are not eligible to register for modules whilst they remain in debt to the University.

17.8 The taught element of the research degree programme shall be assessed in accordance with the procedures set out in Regulation XXI.

17.9 An External Examiner shall be appointed for the taught element of the research degree programme in accordance with Regulation XXII.

17.10 There shall be a Programme Board for the taught element of the research degree programme which shall meet for the purpose of awarding the Postgraduate Diploma or the Postgraduate Certificate and which shall exercise the other powers of a Programme Board described in Regulation XXI.

17.11 Students will be eligible to progress on the research degree programme when they have accumulated 120 credits from the taught element within the maximum period of time specified in the Programme Regulations and have satisfied the research degree requirements.

17.12 Students not meeting the above requirements, or whose registration for the Degree of MPhil or PhD 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. Students who accumulate 60 credits shall be eligible for the award of Postgraduate Certificate.

17.13 Students shall re-register annually. 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 student of not less than 5000 words or its adjudged equivalent. Decisions on research progress will be taken by the Progression Board following consideration of reports from an independent reviewer following an oral examination and from the supervisors in accordance with paragraph 6.4 above.

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

17.14.1 be permitted to continue with the programme;

**OR**

17.14.2 be required to withdraw from the research degree programme;

**OR**

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

**OR**

17.14.4 be permitted to write up for the degree of MPhil.

17.15 For the degree of PhD the basis of assessment, following satisfactory completion of the taught element, shall be a research thesis submitted and examined in accordance with Regulation XXVI.

17.16 The term research student shall apply to all students registered on this research degree programme. The provisions of Regulation XXVI shall apply to all students except as provided for in the foregoing paragraphs.

**18. Regulations for the Research Degree Programme in Regenerative Medicine**

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

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

18.3 Initial registration shall be for the degree of PhD. Registration shall normally be with effect from 1 October.

18.4 Students shall be required to pursue an approved Full-Time programme of study and research extending over a maximum period of four years.

18.5 Eligible students shall submit for a research degree within a minimum period of three years and six months and a maximum period of four years and six months from initial registration.

18.6 All students shall register at Loughborough University at the outset of the programme of research. At the end of the first year of registration students may transfer their registration to either Keele or Nottingham University or remain registered at Loughborough University, depending on the selection of the research thesis area and the availability of supervisory expertise. Where a student transfers from Loughborough University a new supervisor shall be appointed and the student shall be subject to the regulations of the new host University.

18.7 Throughout the programme of study and research, students shall be required to undertake general and specialist skills training which shall be delivered through the Doctoral Training Centre in Regenerative Medicine. Assessment of the skills training component of the programme shall be through the evaluation of the annual research reports. Satisfactory completion of the skills training components of the programme will not lead to an award of the University. The Doctoral Training Centre shall publish annually the available skills training components. Research students shall agree with their research supervisors which components they are required to undertake on an annual basis.

18.8 In the first year of the programme (Part R0 at Loughborough), in addition to the skills training, students shall be required to undertake three mini research projects, each of a minimum of 8 weeks duration and each project will be based at a different partner University site. The research projects will be assessed at the end of year one and progression to year two (Part R1 at Loughborough) will be subject to satisfactory completion of the projects. The subject of the student's research degree thesis shall be confirmed by month eleven of the first year of study (Part R0) and appropriate supervisory arrangements shall be made. In the first year (Part R0) of the programme the student shall have two supervisors to supervise the mini projects.

18.9 The annual progression of students and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the student and a viva examination and progression decisions taken by a Progression Board as outlined in paragraph 6 of this regulation. At the end of year two (Part R1) of the programme the written research report shall be of the order of 10,000 words.

**19. Regulations for the Research Degree Programme in Additive Manufacturing and 3D Printing**

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

19.2 Students registering for the research degree programme in Additive Manufacturing and 3D Printing must possess at least an upper second class honours degree, or an equivalent qualification and professional experience.

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

19.4 Students shall be required to pursue an approved full time programme of study and research extending over a maximum period of four years.

19.5 Eligible students shall submit for a research degree within a minimum period of three years and six months and a maximum period of four years from initial registration.

19.6 Students must successfully complete 180 credits of modules over the Four-Year programme, delivered by the Centre for Doctoral Training University partners. 130 credits must be completed by the end of year one (Part R0), 150 credits by the end of year two (Part R1), 170 credits by the end of year three (Part R2) and 180 credits by the end of year four (Part R3).

19.7 In the first year of the programme, students must complete 120 credits of compulsory modules, 110 of which are delivered by the University of Nottingham. Loughborough University delivers one 10-credit compulsory module. Student must also take one further 10-credit elective module, which can be selected from any of the partner Universities.

19.8 Progression into year two will be confirmed by an examination board, attended by an external examiner.

19.9 The subject of the student's research degree thesis shall be confirmed by month six of the first year of study and appropriate supervisory arrangements including the appointment of two supervisors shall be made by then.

19.10 From year two (Part R1), the annual progression of students and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the student and a viva examination. Modules completed by students during years two to four will also be considered by an examination board and the marks fed into the annual review process. Decisions on research progress will be taken by the Progression Board following consideration of reports from an independent reviewer following an oral examination and from the supervisors in accordance with paragraph 6.4 above.

19.11 Students who have successfully completed part of the entire training component but who subsequently do not complete the requirements for the PhD may be awarded a Postgraduate Diploma (PGDip) in Additive Manufacturing and 3D Printing or Postgraduate Certificate (PGCert) in Additive Manufacturing and 3D Printing. This award will be made by the University of Nottingham. The PGDip may be awarded provided students have successfully completed 120 credits with an overall credit weighted average mark of at least 50%, with at most 40 taught credits between 40-49% and no module marks of less than 40%.

The PGCert may be awarded provided students have successfully completed 60 credits with an overall credit weighted average mark of at least 50%, with at most 20 taught credits between 40-49% and no module marks of less than 40%.

These awards will be made with Distinction if the credit-weighted average is 70% and above and with Merit if the credit-weighted average is above 60%.

19.12 A student's registration may be transferred from PhD to MPhil following an unsatisfactory progress review at any point after the first 12 months.

## **20. Regulations for the Research Degree Programme in New and Sustainable Photovoltaics**

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

20.2 Students registering for the research degree programme in New and Sustainable PV must possess at least an upper second class honours degree, or an equivalent qualification and professional experience.

20.3 Initial registration shall be for the degree of PhD. Registration shall normally be with effect from 1 October.

20.4 Students shall be required to pursue an approved full time programme of study and research extending over a maximum period of four years.

20.5 Eligible students shall submit for a research degree within a minimum period of three years and six months and a maximum period of four years and six months from initial registration.

20.6 In the first year of the programme, in addition to generic skills training, students shall be required to undertake specialized training delivered through the Doctoral Training Centre in New and Sustainable PV. This specialized training will last for 14 weeks and will be delivered by 6 partner universities (2 weeks each) as well as a 2 week training programme at Loughborough University.

20.7 Assessment of the skills training component of the programme shall be through the evaluation of the annual research reports. Satisfactory completion of the skills training components of the programme alone will not lead to an award of the University.

20.8 Training provided by Loughborough University to students of the Doctoral Training Centre in New and Sustainable PV will be non-credit bearing.

20.9 The subject of the student's research degree thesis shall be confirmed by month three of the first year of study (Part R0) and appropriate supervisory arrangements including the appointment of two supervisors shall be made by then.

20.10 The annual progression of students and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the student and a viva examination. Decisions on research progress will be taken by the Progression Board following consideration of reports from an independent reviewer following an oral examination and from the supervisors in accordance with paragraph 6.4 above.

20.11 Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 5,000 words on the research to date and satisfactory completion of the specialized training elements of the programme and a viva examination.

20.12 A student's registration may be transferred from PhD to MPhil following an unsatisfactory progress review at any point after the first 12 months.

## **21. Regulations for the Research Degree Programme in Embedded Intelligence**

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

21.2 Students registering for the research degree programme in Embedded Intelligence must possess at least an upper second-class honours degree, or an equivalent qualification and professional experience.

21.3 Initial registration shall be for the degree of PhD. Registration shall normally be with effect from 1 October.

21.4 Students shall be required to pursue an approved Full-Time programme of study and research extending over a maximum period of four years.

21.5 Eligible students shall submit for a research degree within a minimum period of three years and six months and a maximum period of four years and six months from initial registration.

21.6 All students shall register at Loughborough University or at Heriot Watt University at the outset of the programme of research. Throughout the programme of study and research, students shall be required to undertake general and specialist skills training which shall be delivered through compulsory and optional training modules through the Centre for Doctoral Training in Embedded Intelligence. Assessment of the skills training component of the programme shall be through the evaluation of the annual research reports. Satisfactory completion of the skills training components of the programme will not lead to an award of the University. The Centre for Doctoral Training shall publish annually the available skills training components in their student handbook.

Research students shall agree with their research supervisors which components they are required to undertake on an annual basis.

21.7 In the first year of the programme (Part R0 at Loughborough), in addition to the skills training, students shall be required to undertake three industrially led mini research projects, each of a minimum of 8 weeks duration. The research projects will be assessed at the end of year one (Part R0) and progression to year two (Part R1) will be subject to satisfactory completion of the projects. The subject of the student's research degree thesis shall be confirmed by month eleven of the first year of study (Part R0) and appropriate supervisory arrangements shall be made.

21.8 The annual progression of students and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the student and a viva examination. Decisions on research progress will be taken by the Progression Board following consideration of reports from an independent reviewer following an oral examination and from the supervisors in accordance with paragraph 6.4 above. At the end of year two (Part R1) of the programme the written research report shall be of the order of 10,000 words. A student's registration may be transferred from PhD to MPhil following an unsatisfactory progress review at the end of the second year of registration.

## **22. Regulations for PhD with Integrated Research Studies**

22.1 Students registered for the PhD with Integrated Research Studies shall be required to pursue an approved Full-Time programme of study and research extending over a period of four years.

22.2 Any research student who is registered for the PhD with Integrated Research Studies 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. Students shall submit their theses within 54 months of the date of their initial registration.

22.3 Registration shall normally be with effect from 1 October. Other start dates may be possible subject to the availability of the taught elements of the programme.

22.4 Each School participating in the PhD with Integrated Research Studies programme shall ensure that regulations are published for the taught element of the PhD with Integrated Research Studies, 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.

22.5 Students are required to complete modules with a total modular weighting of 120 credits within 24 months of registering for the programme.

22.6 Taught modules will be as listed in programme regulations for the taught element in the relevant Department or School. Where only core modules are listed in the programme regulations, the remaining taught modules to bring the credit total to 120 must be as negotiated and agreed with the student's supervisor(s), and must be taken from any advanced level modules offered by the University's portfolio of MSc programmes or Part D of the University's portfolio of integrated Masters programmes, subject to the agreement of the providing School concerned and the approval of the Director of Research Studies in the student's Department or School. It will normally be expected that modules of at least 60 credits will be taken from the Department in which the student is registered, although, in exceptional circumstances, this can be waived with the approval of the ADT in the student's School.

22.7 All students 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 satisfactory progress in their research and the extension of their registration in accordance with Regulation XXVI.

22.8 The taught element of the PhD programme shall be assessed in accordance with the procedures set out in Regulation XXI.

22.9 An External Programme Assessor shall be appointed for the taught element of the PhD programme in accordance with Regulation XXII.

22.10 There shall be a Programme Board for the taught element of the PhD programme which shall meet for the purpose of awarding credit and which shall exercise the other powers of a Programme Board described in Regulation XXI.

22.11 Students will be eligible to progress on the PhD with Integrated Research Studies programme when they have completed the taught element within 24 months of commencing the programme and have achieved 50 per cent in all modules taken.

22.12 Students shall re-register annually and re-registration will depend upon satisfactory performance in research and taught modules. Progress at the end of year one will be assessed through the submission of a report of the order of 5000 words on the research to date.

Progress in research during the second year of registration will be assessed through the submission of a report of the order of 10,000 words on the research to date. Assessment of research progress shall be undertaken in accordance with the University's standard progression review procedures.

22.13 Throughout the programme of study students shall undertake research leading to the submission of a thesis.

22.14 Lack of satisfactory progress in either the taught element of the programme or the research project will mean that the student will not be permitted to continue to pursue the programme of study. At the end of year 2 the progress of students will be assessed on the basis of their performance in the taught element and research element of the programme and the students shall either:

- be permitted to proceed with the PhD with Integrated Research Studies programme;  
OR
- be permitted to continue with the PhD with Integrated Research Studies 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 PhD with Integrated Research Studies programme;  
OR
- be required to withdraw from the PhD with Integrated Research Studies programme but be awarded an appropriate Postgraduate Diploma/Postgraduate Certificate;  
OR
- be required to withdraw from the PhD with Integrated Research Studies programme but be encouraged to submit for the degree of Master of Philosophy;  
OR
- be required to withdraw from the PhD with Integrated Research Studies programme but be permitted to register for a PhD in accordance with Regulation XXVI

22.15 Successful completion of the taught element of the programme contributes towards progression on the PhD programme. Students will not receive a separate award unless they have accumulated sufficient modular credit and withdraw from the PhD programme.

22.16 For the degree of PhD, the basis of assessment shall be in accordance with Regulation XXVI.

22.17 The provisions of Regulation XXVI shall apply to all students except as provided for in the foregoing paragraphs.

### **23. Posthumous Research Degree Award**

The purpose of this regulation is to provide for the posthumous conferral of a research degree award.

1) where a student has died prior to the completion and submission of a research thesis

#### **Eligibility**

A submission for an award may be made subject to the following conditions:

1. The student was a student at the time of death (registered or on approved leave of absence)
2. There is reasonable expectation that the student would have completed the requirements for the award, had they lived to complete the degree. A preliminary academic assessment to this effect shall be made by the student's Supervisor and Director of Research Degree Programme and shall be based on evidence such as draft chapters, publications, progress reports and any other tangible outputs and results.
3. Following the preliminary assessment an application for the award shall be made by the student's supervisor and Associate Dean (Research) of the School to the Academic Registry. The School will notify the student's family that the application is being made at this stage.
4. The candidate will normally have completed 3 years' Full Time study of 5 years' Part-Time study.

### **Examination**

The submitted work will be sent to the Examiners, who shall be two External Examiners and one Internal Examiner nominated by the student's supervisor and approved by the Associate Dean Research and the Director of the Doctoral College.

The submission shall consist of material which best represents the student's own research and may consist of publications, draft chapters or progress review reports or other examinable outputs. The Supervisor shall be responsible for compiling the material for the submission and arranging for it to be bound in a suitable format.

The Supervisor will be requested to submit additional supporting information to aid the Examiners' understanding of the student's contribution to the research.

The Examiners will be informed of the circumstances surrounding the examination and will be asked to confirm whether there is sufficient evidence to suggest that, had the student lived, they would have satisfied the requirements for the award of the degree. Since the material is likely to be incomplete the requirements may not be met in full, but there should be sufficient evidence to suggest that the student would have successfully done so.

The Examiners would normally be required to meet to consider their recommendation and submit a joint report. The Examiners may recommend either a pass or fail outcome only.

An award will be made on the unanimous recommendation of the Examiners.

The submission will not normally be deposited in the University Library.

2) Where a student has died after the submission of a thesis but prior to an oral examination being conducted -

the Dean of the School shall contact the student's family to confirm that they wish the process to continue:

1. the examination will be conducted in accordance with paragraph 10.2 of Regulation XXVI
2. the Examiners may recommend either a pass or fail outcome only

### **Annex 1**

Registration and Progression requirements for MPhil and PhD students registering before 1 October 2012.

1. Full-Time students aiming to submit for the degree of MPhil shall normally be registered for a minimum period of 2 years. Full-Time students aiming to submit for the degree of PhD shall normally be registered for 3 years. Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 10,000 words on the research to date. A student's registration for the degree of Master of Philosophy may be transferred to a registration for the degree of Doctor of Philosophy at, or any time after, a student's first 12 months but not less than six months before submission of a thesis for PhD, subject to the student having satisfactorily completed such research training as may be prescribed by the School under which he/she is registered. Students shall receive a written report on their progress from their Supervisor on an annual basis.

### **2. Part-Time Research Students registering before 1 October 2012**

Part-Time students aiming to submit for the degree of MPhil shall normally be registered for a minimum period of 3 years. Part-Time students aiming to submit for the degree of PhD shall normally be registered for 5 years. Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 5,000 words on the research to date and a report of the order of 10,000 words before 24 months. A student's registration for the degree of Master of Philosophy may be transferred to a registration for the degree of Doctor of Philosophy at, or any time after, a student's first 24 months but not less than six months before submission of a thesis for PhD, subject to the student having satisfactorily completed such research training as may be prescribed by the School under which he/she is registered. Students shall receive a written report on their progress from their Supervisor on an annual basis.

(Remade August 2017)

Last modified: 29 Aug 2018

Enquiries: [registry.web@lboro.ac.uk](mailto:registry.web@lboro.ac.uk)