

## University Governance

### University Regulations

#### Regulation XXVI

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##### Higher Degrees by Research

*(Formerly Regulations for Higher Degrees by Research - RHDR)*

*(Version effective from 24 June 2015 until 31 July 2016)*

These Regulations should be read in conjunction with [University Code of Practice on Research Degree Programmes](#).

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

- Master of Philosophy - M.Phil.
- Doctor of Philosophy - Ph.D.
- Engineering Doctorate - Eng.D.

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

- eligible Research Students
- staff of at least five years' standing, subject to the provisions of para 3.1 hereof
- 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; an acceptable equivalent degree from an international university.
- any other equivalent qualification approved by Senate

###### 3.2 Candidates must possess an English Language qualification acceptable to the University.

3.3 Any candidate may be required by an Associate Dean (Research), 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.

##### 4. Research Students - Registration

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

A student will be registered from the outset for the qualification they are aiming for which will be either MPhil, PhD or EngD. The Dean of School or their nominee shall appoint a Supervisor or Supervisors with due reference to

expertise and staff workload. They shall also appoint a Director of Research Degree Programme for each student, who will act as an initial arbiter in the event of academic problems experienced by the student and maintain an overview of the quality of the student's research degree programme.

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

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

**4.3** A Research Student shall attend such lectures and seminars as may be required by the University in the exercise of its responsibilities under the Health and Safety at Work Act 1974.

The student shall undertake such research training as may be prescribed by the School under which he/she is registered and to attend such lectures, seminars and to take such examinations as his/her Supervisor may require.

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

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

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

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

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

#### **4.5 Full-Time Research Students registering before 1 October 2012**

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

#### **4.5.2 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.

#### **4.5.3 Full-Time Research Students registering on or after October 2012**

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

The first year of registration on a full time research degree programme shall be considered a probationary year. Progress during the first 12 months from the registration will be assessed through the submission of a report of the order of 10,000 words on the research to date. A student's registration shall be reviewed annually. The degree for which they are registered will be confirmed as part of the progress review process at the end of Year 1. In the event that a student who has been registered for the award of either MPhil or PhD is making unsatisfactory progress, then their registration may be extended for a further probationary period normally of up to 3 months or up to 6 months in exceptional circumstances, or registration may be transferred to MPhil from PhD or terminated. Where a student's registration is extended for a further probationary period they shall be required to produce a further written report and undertake a further progress review prior to their registration for either PhD or MPhil being confirmed. Students shall receive a written report on their progress from their Supervisor on an annual basis.

#### **4.5.4 Part-Time Research Students registering on or after 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.

The first two years of registration on a part time research degree programme shall be considered a probationary period. The degree for which they are registered will be confirmed as part of the progress review process at the end of Year 2. In the event that a student who has been registered for the award of either MPhil or PhD is making unsatisfactory progress, then their registration may be extended for a further probationary period normally of up to 3 months or up to 6 months in exceptional circumstances, or registration may be transferred to MPhil from PhD or it may be terminated. Where a student's registration is extended for a further probationary period they shall be required to produce a further written report and undertake a further progress review prior to their registration for either PhD or MPhil being confirmed.

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

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

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

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

**4.7** Students will be required to re-register annually not later than one month after the date of expiry of their previous year of registration and re-registration will be subject to a satisfactory annual review.

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

### **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.

#### **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.

### 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 4.5, 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, as above, shall require permission from the Associate Dean (Research) of their School in order to submit their thesis late. Such permission shall only be granted in exceptional circumstances. Candidates shall apply for permission not later than six months prior to 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 4.5. Following completion of the agreed period of registration 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 Dean of the Graduate School on the recommendation of the Associate Dean (Research) of the School to submit their thesis late. Such permission shall only be granted in exceptional circumstances. Candidates shall apply for permission 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 may, subject to the provisions of paragraph 3.1 of the Regulation XXVI and subject to the agreement of their Dean of School or nominee 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 Degree programme. 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 Associate Dean (Research) of the relevant School 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 University of their wish to submit for the degree of Master of Philosophy and of at least eight years' standing before notifying the University of their wish to submit for the degree of Doctor of Philosophy. Master's graduates must be of four years' standing before notifying the University of their wish to submit for the degree of Doctor of Philosophy.

A Supervisor and a Director of Research Degree Programme shall be appointed for such candidates. The candidate shall pay an examination fee at a level to be determined by Council. A graduate of the University of at least eight years' standing 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. Submission

**8.1** Submitted work for a higher degree of the University must be submitted in the form specified by the University Codes of Practice 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.

**8.2** 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 degree awarding body, except in accordance with an agreement between universities.

**8.3** Any submission subsequently published must include a statement that it has been submitted for a higher degree of the University.

**8.4** Three copies of the thesis bound in temporary format must initially be submitted for examination. On successful completion of all examination requirements including any necessary corrections, candidates should deposit a copy of their final PhD thesis in electronic format with the University Library, together with a signed Thesis Deposit Agreement.

**8.5** 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.

## 9. Examination Arrangements

**9.1** When a person eligible under paragraph 5 has notified his/her intention to submit a thesis, the Associate Dean (Research) of the School shall appoint Examiners on the recommendation of the student's Supervisor. 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, neither of whom has had any supervisory relationship with the candidate. A Supervisor may attend the viva voce examination as an Observer 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 viva panel shall be appointed.

**9.2** 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 Associate Dean (Research) of the School, on the recommendation of the student's supervisor, shall appoint two External Examiners and an independent non examining chair of the viva panel.

## 10. Examination

**10.1** For a research degree 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** Attendance at an oral examination by the candidate for a higher degree may be waived only by the Dean of the Graduate School with the advice of the candidate's Supervisor. 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 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 candidate being informed of the necessary corrections.

**11.2** In the case of pass with corrections required the Internal Examiner will be responsible for confirming in writing to the Research Student Office that the corrections have been satisfactorily accomplished

**11.3** 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 Research Student Office following the re-examination.

**11.4** 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.

**11.5** 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.

**11.6** 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.

**11.7** 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 15.9, an independent non-examining chair of the viva panel shall be appointed.

**11.8** 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 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 15 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 significant academic misconduct has been 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. Academic Misconduct**

### **13.1 Scope**

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

### **13.2 Definition**

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

- Assisting another candidate 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 candidate's own of which the candidate 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 candidate.

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

**13.3** 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 relevant Associate Dean (Research) of the School

**13.4** 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 13.13 of these regulations.

**13.5** 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.

**13.6** In the event that the case is referred for action to the Associate Dean (Research) candidates shall be notified in writing of the alleged offence and the evidence against them by the relevant Associate Dean (Research). Candidates 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.

**13.7** Having taken into account the evidence and the defence, if any, the relevant the Associate Dean (Research) shall decide whether the candidate 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 candidate intended to obtain an unfair advantage for himself/herself or another. The candidate 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 candidate being notified of the allegation. S/he shall also be notified of the right to appeal.

### **Penalties**

**13.8** 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 candidate and reported to the Research Student Office.
- The correction and re-presentation of any relevant work.

### **Appeals – Academic Misconduct**

**13.9** Candidates 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 candidate 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 candidate 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 candidate 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 candidate. 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 XXV1.

**13.10** The Appeal Committee shall review the case and may request further information from the candidate 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 candidate within 15 working days of receipt of the complete appeal documentation from the candidate by the Secretary of the Appeals Committee. The decision of the Committee shall be final.

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

**13.11** 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 School which the candidate is registered and to the Academic Registrar or nominee. The examination process will be suspended pending an investigation.

**13.12** 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 candidate 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 candidate. The candidate shall provide a written response within 14 working days. The evidence and the candidate's response shall be forwarded to the Academic Misconduct Committee for investigation.

**13.13** The Academic Misconduct Committee shall comprise:

- The Dean of the Graduate School or the Pro-Vice-Chancellor (Research) or an Associate Dean (Research) from a School other than the candidate's own (Chair)
- Three Associate Deans (Research) or members of Senate (not being students) who have had no academic involvement with the candidate concerned and are members of Schools other than the candidate'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

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

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

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

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

**13.15** 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.

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

**13.17** 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.

## 14 Appeals

**14.1** 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 candidate may appeal through the appeal procedures applicable to research degree programmes.

## 15. Appeals for Failed Submissions

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

- (i) that there existed at the time of the examination circumstances affecting the student's performance of which the examiners had not been made aware when their decision was taken. 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 then they may not submit an appeal on these grounds.
- (ii) that there were procedural irregularities in the conduct of the examination of such a nature as to cause reasonable doubt as to whether the examiners would have reached the same conclusion had they not occurred.
- (iii) that there is evidence of prejudice or of bias against the candidate or of inadequate assessment on the part of one or more of the examiners.

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

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

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

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

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

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

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

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

- (i) in cases where the appeal is based on either of the grounds stated in 15.1(i) or 15.1(ii) above the Appeal Committee shall be empowered
  - a) to direct the Examiners to re-consider their decision for the reasons stated and to report their decision to the Appeal Committee which shall then determine the appeal in the light of such re-consideration; and/or

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

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

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

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

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

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

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

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

(i) that there were serious circumstances affecting the student of which the Dean of the School or Progress review panel were not aware when a decision was made. 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 then they may not submit an appeal on these grounds.

(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)**

**(for candidates registering prior to October 2006)**

**16.1** 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.

**16.2** 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.

**16.3** 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.

**16.4** Candidates 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** 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 16.2 of these Regulations.

**16.7** 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 Regulation XXVI. Candidates 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** 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 16.2 of these Regulations.

**16.12** 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.

**16.13** 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.

**16.14** 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.

**16.15** Candidates 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 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 Degree Programme.

**16.17** Candidates 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 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 Degree Programme and shall include an oral examination.

**16.18** 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.

**16.19** 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:

**16.19.1** be permitted to continue with EngD programme;

**OR**

**16.19.2** be permitted to proceed with EngD programme AND be awarded an appropriate MSc/Postgraduate Diploma/Postgraduate Certificate as defined in Programme Regulations;

**OR**

**16.19.3** be required to withdraw from the EngD;

**OR**

**16.19.4** 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**

**16.19.5** 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**

**16.19.6** 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 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.

**16.21** When an eligible candidate has notified his/her intention to make a submission the Dean of the Graduate School 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, 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.

**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 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 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 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 Regulation XXVI. 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 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 Merit or Distinction in accordance with the scheme set out in Regulation XXI.

**17.16** The School 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 Degree Programme.

**17.17** Candidates 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 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 Degree Programme 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 Dean of the Graduate School 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 Regulation XXVI shall apply to all candidates except as provided for in the foregoing paragraphs.

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

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

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

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

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

**18.5.** 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.

**18.6.** Candidates 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.

**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 in accordance with para. 4.5 of Regulation XXVI. Candidates are not eligible to register for modules whilst they remain in debt to the University.

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

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

**18.10.** 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.

**18.11.** Candidates 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.

**18.12.** Candidates 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. Candidates who accumulate 60 credits shall be eligible for the award of Postgraduate Certificate.

**18.13.** Candidates 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 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 Degree Programme and shall include an oral examination.

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

**18.14.1** be permitted to continue with the programme;

**OR**

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

**OR**

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

**OR**

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

**18.15.** 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

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

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

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

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

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

**19.4** Candidates 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 candidates 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.

**19.6** All candidates 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.

**19.7** 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.

**19.8** In the first year of the programme, in addition to the skills training, candidates 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 will be subject to satisfactory completion of the projects. The subject of the candidate's research degree thesis shall be confirmed by month eleven of the first year of study and appropriate supervisory arrangements shall be made. In the first year of the programme the student shall have two supervisors to supervise the mini projects.

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

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

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

**20.2** Candidates 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.

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

**20.4** Candidates 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 candidates 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.

**20.6** 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, 150 credits by the end of year two, 170 credits by the end of year three and 180 credits by the end of year four.

**20.7** 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.

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

**20.9** The subject of the candidate'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.

**20.10** From year two, the annual progression of candidates and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the candidate and a viva examination. 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.

**20.11** 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%.

**20.12** A candidate'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 New and Sustainable Photovoltaics**

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

**21.2** Candidates 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.

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

**21.4** Candidates 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 candidates 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** In the first year of the programme, in addition to generic skills training, candidates 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.

**21.7** 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.

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

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

**21.10** The annual progression of candidates and the renewal of registration shall be subject to satisfactory progress and performance in research and skills training. This will be assessed annually by a written research report from the candidate and a viva examination.

**21.11** 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.

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

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

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

**22.2** Candidates 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.

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

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

**22.5** Eligible candidates 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.

**22.6** All candidates 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.

**22.7** In the first year of the programme, in addition to the skills training, candidates 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 and progression to year two will be subject to satisfactory completion of the projects. The subject of the candidate's research degree thesis shall be confirmed by month eleven of the first year of study and appropriate supervisory arrangements shall be made.

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

## **23. Regulations for Higher Doctorates**

**23.1** 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 on the recommendation of the Examiners.

### **23.2 Eligibility**

To be eligible to submit for a Higher Doctorate a candidate must be a graduate of the University or a Diplomat 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 conferred the degree of Doctor of Philosophy, Academic Staff must have been in post not less than seven years.

### **23.3 Application**

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

### **23.4 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. The publications should indicate command over a field of study and a sustained contribution to understanding within that field. 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 discretion of the Pro-Vice Chancellor (Research), work of more limited circulation may be taken into consideration.

There must also be submitted a statement containing:

1. a list of the candidate's publications in which are marked those which contain the main substance of the submission;
2. a synopsis of not less than 1000 words which describe how the sustained contribution to the field of study has been made with due reference to the marked publications;
3. 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;
4. 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.

On the basis of items 1-4 the the Pro-Vice-Chancellor (Research) in consultation with the Dean of the appropriate School or other academic staff with appropriate subject expertise shall consider whether there is a prima facie case for the submission to proceed.

### **23.5 Examinations**

The candidate may be invited to identify possible Examiners for the submission, but the University reserves the right to select the Examiners, taking appropriate advice on their suitability. The Examiners are expected to have expert knowledge of the field and normally will possess a higher doctorate themselves.

Three External Examiners will be appointed by the Pro-Vice-Chancellor (Research). The Examiners 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 Pro-Vice-Chancellor (Research) his/her assessment of the work submitted and the Pro-Vice-Chancellor, having considered the advice of the Examiners will, if appropriate, recommend to Senate that a degree be awarded.

The Pro-Vice-Chancellor shall approve the award of a higher doctorate on the basis of the unanimous recommendation of the Examiners. In the event that this is not possible, the Pro-Vice-Chancellor (Research), if appropriate, may recommend that the candidate revises the submission and makes a further submission to a new examination team after an interval of not less than two years.

### **23.6 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.

## 24. 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 the completion and submission of a research thesis

### Eligibility

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

1. The candidate was a student at the time of death (registered or on approved leave of absence)
2. There is reasonable expectation that the candidate 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 candidate'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 candidate's supervisor and Associate Dean (Research) of the School to the Research Student Office. The School will notify the candidate'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 Dean of the Graduate School.

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 candidate 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-

1. the Dean of the School shall contact the candidate's family to confirm that they wish the process to continue
2. the examination will be conducted in accordance with paragraph 10.2 of Regulation XXVI
3. the Examiners may recommend either a pass or fail outcome only

## 25. Regulations for PhD with Integrated Research Studies

**25.1.** Candidates 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.

**25.2** 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. Candidates shall submit their theses within 54 months of the date of their initial registration.

**25.3.** 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.

**25.4.** 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.

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

**25.6.** 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.

**25.7.** 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 satisfactory progress in their research and the extension of their registration in accordance with Regulation XXVI.

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

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

**25.10** 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.

**25.11.** Candidates 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.

**25.12.** Candidates 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.

**25.13.** Throughout the programme of study candidates shall undertake research leading to the submission of a thesis.

**25.14.** Lack of satisfactory progress in either the taught 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 taught element and research element of the programme and the candidates 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

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

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

**25.17.** The provisions of Regulation XXVI shall apply to all candidates except as provided for in the foregoing paragraphs.

## **26. Interpretation**

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

These Regulations should be read in conjunction with University Codes of Practice.

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