



## Regulation XXVI

### Higher Degrees by Research

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

*(Version effective from 1 August 2011 until 25 January 2012)*

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

4.2 Candidates' registrations shall take effect from four dates annually

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

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

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

#### 4.4 Location of Research

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

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

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

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

#### **4.5 Full-Time Research Students**

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

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.

**4.6** 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 Dean of the Graduate School on the recommendation of 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 at any time in the six months immediately preceding the completion of the prescribed period. If such permission is granted the candidate shall have a maximum period of twelve months commencing from the end of the prescribed period in which to submit the thesis. The candidate shall be required to pay a fee throughout this period in addition to a late submission fee at a level to be determined by Council.

##### **(ii) Part-time Students**

All part-time students shall normally submit their theses within two years of completing the standard period of registration for their degree as set out in paragraph 4.5. 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, accept 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 and two copies of their thesis, printed and bound in permanent format, with the Research Student Office, together with a signed Thesis Deposit Agreement and other relevant documents.

**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 Dean of the Graduate School shall appoint Examiners on the recommendation of the student's Supervisor and Associate Dean (Research) of the School. For the degree of Master of Philosophy or the degree of Doctor of Philosophy not fewer than two Examiners shall be appointed of whom at least one shall be an External Examiner who has had no supervisory relationship with the candidate. A candidate's Supervisor may not act as his/her Internal Examiner. A Supervisor may attend the viva voce examination as an Observer unless the student objects.

**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 Dean of the Graduate School on the recommendation of the Associate Dean (Research) of the School shall appoint two External Examiners and a member of Senate as an Observer.

## 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** The decision of the Examiners shall be reported and their report made available to the Faculty Board or Senate who shall award the degree, if any, recommended by the Examiners except as provided in para.11.9 hereof.

**11.5** In any case where the Examiners are unable to agree upon their decision, an additional External Examiner shall be appointed whose decision shall be final. Where that decision is Refer, the examination of the referred thesis shall be conducted wherever possible by all the appointed examiners.

**11.6** A candidate for whom the Examiners' decision is "Refer" may resubmit within a period and subject to any conditions which may be determined by the Examiners. The resubmission period will be within 12 months. The resubmission date will be notified to the student by the Research Student Office.

**11.7** The Examiners may refer a candidate's research degree submission on one occasion only, except where the examination has been made void following an Appeal or exceptionally where new matters have come to the Examiners' attention which they were previously unaware of.

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

**11.9** In the case of a candidate submitting for the degree of Ph.D. who satisfied the requirements for the degree of Master of Philosophy only, Senate shall not award the degree of Master of Philosophy unless the candidate shall have agreed in writing that such an award is acceptable. If the candidate does not accept the award of the degree of Master of Philosophy he/she shall be held to have failed and the candidate may exercise the right of appeal against the decision of the examiners as provided in paragraph 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 Procedure for Failed Submissions**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### **Appeals Procedure for Termination of Registration**

**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.

### **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 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 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 New Route PhD**

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

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

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

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

**18.4.** Candidates shall be registered at the outset for the degree of MPhil. Registration shall normally be with effect from 1 October.

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

**OR**

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

**OR**

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

**OR**

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

**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 MPhil. 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 upgraded from MPhil to PhD following a successful progress review at the end of the second year of registration.

## 20. Regulations for Higher Doctorates

**20.1** 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.

### 20.2 Eligibility

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

### 20.3 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.

### 20.4 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 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.

### 20.5 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.

### 20.6 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.

## 21. 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.