
Senate Regulation 9: Regulations Governing Research Degrees

CODE OF PRACTICE FOR RESEARCH DEGREES

Introduction

- 9.1 This Code applies to candidates applying for admission to a research degree at the University and to all students registered for a research degree regardless of mode of study or place of residence as well as to staff responsible for the supervision of such students. It should be read in conjunction with the Regulations Governing Research Degrees and other applicable Senate Regulations.
- 9.2 The Code also applies to students registered for University of Leicester research degrees at associated colleges, although these may, in addition, have their own codes of practice.

Admission and Selection

- 9.3 All applications will be considered in line with the University's Code of Practice for Admissions.
- 9.4 The University's minimum entry requirement for a research degree is normally a first degree with at least upper second class honours or an equivalent qualification.
- 9.5 For a candidate who does not meet this requirement the Department should make a special case to the Admissions Office for referral to the Graduate Dean based on one or more of the following:
- a. previous training and experience
 - b. published work
 - c. upper second class strengths shown in relevant courses in their first degree
 - d. the student having passed a qualifying examination of final honours standard
- 9.6 Candidates for research degree programmes must satisfy the University's English language entry requirements as described in Senate Regulation One.
- 9.7 For candidates undertaking a research degree on a part-time basis, the Department in which he or she wishes to register must be satisfied that the student will have access to the necessary resources and training, and that it is able to provide supervision at a distance.
- 9.8 Where a candidate is resident in the UK or undertaking study in the UK at the time of application an interview may form part of the selection process. If an interview is held at least two members of the academic staff of the relevant Department(s) must be in attendance. In cases where an interview is not held Departments should have fair and rigorous procedures in place to take account of academic requirements and supervisory capacity. Departments should also ensure that students have access to appropriate research training materials and the facilities necessary to undertake their research.
- 9.9 A recommendation to admit a candidate should be endorsed by two members of the academic staff of the Department(s) concerned, one of whom shall normally be the Postgraduate Tutor and the other the proposed supervisor. The Postgraduate Tutor works with the Head of Department to proactively seek supervisors for prospective research students to ensure that the best possible research students are recruited.
- 9.10 The recommendation for admission will normally be as an Advanced Postgraduate student, except where students are to be registered for a research degree with a taught element (Doctor of Education, Doctor of Social Science, Doctor of Engineering, or Doctor of Clinical Psychology).
- 9.11 The detailed requirements for the proposed programme of research frequently cannot be specified in advance, but in making the recommendation for an offer of a place the Head of Department should confirm the following points in the light of the proposed field of study and discussions with the student:

- a. that the candidate is appropriately qualified for the proposed programme of research
 - b. that, on the information available, the proposed programme of research should be capable of being studied to the depth required to obtain the degree for which the candidate will be registered
 - c. that it might reasonably be expected that the proposed programme of research be completed and a thesis submitted within the maximum period of registration for the degree for which the student will be registered
 - d. that, in so far as can be predicted, appropriate resources (e.g. library, computing, laboratory facilities, equipment, technical assistance, and supervision - including alternative supervision to cover temporary absences of staff) will be available
- 9.12 The formal offer of admission can only be made by the Admissions Office based on the recommendation of the Department. The recommendation of the Department must include a brief outline of the proposed research study programme which will be incorporated into the University's offer letter. Departments may informally notify the student of their recommendation provided that this clearly indicates that the recommendation is subject to final approval by the University.

Designation of Supervisor

- 9.13 Departments must specify the supervisory arrangements including the name of the main supervisor at the time it recommends an offer is to be made.
- 9.14 Departments are strongly encouraged to operate a thesis committee system for their students or an equivalent method. A thesis committee is likely to include:
- i. a main supervisor who carries primary responsibility for supervision
 - ii. a second supervisor or advisor who can offer further academic advice
 - iii. the Department's Postgraduate Tutor (or her/his nominee) who is involved in monitoring progress but is independent of the supervisory team
- 9.15 Departments must be able to supervise the number of students they accept in relation to the resources available and all other demands on staff. The main supervisor must be a member of the academic staff of the University or be a Recognised Teacher from an Associated Institution under the provision of Ordinance 29.
- 9.16 The advantage of the thesis committee system is that there is a single point of contact (the main supervisor), but there are also others who are familiar with the student's work and can support and monitor progress. For example, if a main supervisor is temporarily unable to continue supervising a student, the second supervisor or advisor can assume the role of the main supervisor.
- 9.17 A member of staff under probation should not usually be appointed as the sole supervisor. However, in order to promote research in new areas and to assist in building up research teams, it may be appropriate to appoint a suitably qualified probationer as the main supervisor. In such cases, the supervision should be monitored and assisted by a senior member of staff. More generally, the appointment of a member of staff on probation as a joint supervisor is to be encouraged in the interests of staff training and development.
- 9.18 There may be occasions where it is appropriate to appoint an associate supervisor who is not a member of staff of the University. The appointment of associate supervisors requires the approval of the Graduate Dean. In cases where an associate supervisor is appointed it should be clear that full control over the supervision rests with the University and there must always be a named supervisor who is a member of the academic staff of the University.

Supervision of Students on Industrial-Based Projects

- 9.19 Where a student is undertaking a research degree based in industry or another organisation an associate supervisor should be appointed to provide advice to the student on a day-to-day basis. The Head of Department should ensure that such a supervisor is appropriately qualified and experienced to undertake the supervision. Before the project has commenced the University should ensure that there is a clear agreement in writing on the following issues:
- the roles of the respective supervisors, noting that ultimate responsibility for supervision and monitoring of progress rests with the University
 - the academic and industrial objectives of the project
 - the resources, facilities, and equipment which will be made available to the student
 - the schedule of industrial and research training, including an agreement on the periods the student will be required to attend the University
 - a schedule for regular tripartite meetings between the student and supervisors
 - the use which will be made of the research and its results, including publications and any issues of confidentiality, intellectual property rights, or other areas of sensitivity

Choice of Research Topic

- 9.20 The translation of field of study to a more specific research topic should be undertaken following consultation between the student, the designated supervisor(s), and the student's thesis committee as soon as possible in light of what is appropriate for the discipline and not later than the time of transfer to a specific research degree. The discussions of this may precede registration. The supervisors have a responsibility to ensure that delay in determining the topic is kept to a minimum and that the Head of Department is kept informed.

In many disciplines the choice of research topic may be determined by the research in progress within the Department or by an external funding body. Industrial needs may in appropriate circumstances influence the choice of research fields and topics.

Induction

- 9.21 Departments should provide a formal induction programme for all newly registered research students. Students should be introduced to the necessary resources for their work (e.g., library facilities, computing, etc.) and there should be a thorough discussion of both the demands of the research programme and the mutual obligations of student and supervisor in line with this Code of Practice and the Regulations Governing Research Degrees.

Students should also be provided with information on the research interests of members of staff and how research is organised in the Department – including, for example, details of any research seminars.

- 9.22 Supervisors of part-time students, registered either in the UK or overseas, should discuss the local facilities required to undertake the research and should advise how students may gain access to these facilities, providing appropriate documentation where required.

Research Training

- 9.23 Departments are required to provide formal research training for all research students to ensure that they acquire and enhance the skills they require to undertake their research successfully. Research training may be provided by a variety of means, but will usually include attendance at Graduate School and College training programmes in addition to research training programmes offered at Departmental level or equivalent provision for those undertaking their studies at a distance. Each student and supervisor should formally agree the requirements at the commencement of the student's studies in consultation with the student's thesis committee, and this should be documented in a Training Plan completed and agreed at the first thesis committee meeting. Part-time students should be encouraged to attend the training courses provided but Departments should also provide alternative ways for students to acquire the necessary skills, for example through the use of distance learning materials.
- 9.24 Departments will be required to provide details of their research training programme to the Graduate Dean each year as part of their annual reports on research students. Research training programmes should include:
- research skills and techniques
 - research environment
 - research management
 - personal effectiveness
 - communication skills
 - networking and team-working
 - career management
- 9.25 All research students are required to complete the research training agreed with their thesis committee which is formulated according to the needs of the student and is likely to include compulsory elements designated by the Department or College. A formal record of all training undertaken should be maintained by the student, with reference to the Training Plan, since the student will not be allowed to transfer from Advanced Postgraduate status to a named degree unless the Graduate Dean is satisfied that appropriate research training has been undertaken.

Supervision

- 9.26 Research students should be left in no doubt as to what is required of them. In particular, it must be emphasised that a thesis should be the student's own work and that, within the framework of supervision, students have the responsibility for bringing forward and developing their own ideas.
- 9.27 A clear understanding between student and supervisor needs to be established at an early stage about the supervisor's responsibilities in relation to the student's written submissions. The understanding must cover the nature of guidance or comment a supervisor will offer within the general principle that a thesis must be the student's own work.
- 9.28 Supervisors should ensure that all students understand the requirements of the degree for which they will be registered. Particular care should be taken to ensure that international students, whether registered full-time or part-time resident overseas, fully understand the concept of a British research degree, particularly requirements relating to originality and the viva voce examination associated with research degrees.
- 9.29 In the case of part-time students resident outside of the local region supervisors should ensure that there are adequate means available whereby formal consultation can take place on a regular basis. Use should be made of all forms of technology, such as email, to facilitate this process. Supervision should take place on a regular basis and may include visits by the student to the University or by the supervisor to the student as appropriate. Individual programmes may also have requirements for attendance at residential schools.

- 9.30 Where students are undertaking research as part of a team the supervisor should ensure that students are fully aware of how their own research fits into the group as a whole. It may be particularly useful to arrange regular meetings to review the relationship between individual and group research.

Responsibilities of Supervisors

- 9.31 The responsibilities of the supervisor include:

- a. emphasising to the student the need for familiarity with this Code of Practice, the Regulations Governing Research Degrees, and other applicable Senate Regulations
- b. giving guidance about:
 - the nature of research and standard expected
 - the planning of the research programme
 - literature and sources
 - attendance at taught classes, including the research training programme
 - requisite techniques, including arranging for instruction where necessary
 - the need to develop oral and written communication skills
 - the problems of plagiarism, including drawing attention to the appropriate regulations
- c. monitoring the progress of the research through regular consultations in accordance with Departmental and University policy, and in light of discussion of arrangements with the student
- d. being accessible at mutually convenient times when the student may need advice
- e. giving detailed advice on the necessary completion dates of successive stages of the work so that the whole may be submitted within the scheduled time; the planning of the research programme should anticipate a final draft of the thesis being prepared by the end of a three-year period of full time research or an equivalent period for part-time study
- f. emphasising the importance of timely submission both in terms of good academic practice and in relationship to University and Research Council requirements and explaining the consequences of failing to meet the appropriate deadlines
- g. requesting written work as appropriate, and returning such work with constructive criticism and in reasonable time
- h. reading the whole of the final draft of the thesis, giving advice about appropriate length, and ensuring that the thesis complies with regulations on the length of theses
- i. arranging as appropriate for students to talk about their work to staff or at graduate seminars, and to have practice in oral presentations, bearing in mind the demands of the oral examination
- j. ensuring that the student is made aware of inadequacy of progress or of standards of work below that generally expected; if at any time the supervisor is of the opinion that the student is unlikely to achieve the degree for which the student is registered, the supervisor must notify the Head of Department in writing without delay

Responsibilities of Research Students

9.32 The responsibilities of the student include:

- a. familiarising themselves with this Code of Practice, the Regulations Governing Research Degrees, and other applicable Senate Regulations
- b. taking the initiative in raising problems or difficulties, however elementary they may seem
- c. discussing with the supervisor the type of guidance and comment found most helpful
- d. agreeing a mutually convenient schedule of meetings
- e. attending the research training programme and any other taught classes as required by the Department
- f. maintaining and sustaining the progress of the work in accordance with the stages agreed with the supervisor, including in particular the prompt presentation of material, written in good, clear English, as required in sufficient time for comments and discussion before proceeding to the next stage (in this context written material includes interim reports, drafts of theses, running commentaries on the evolution of the argument, appraisal of written sources, laboratory results)
- g. complying with Departmental reporting procedures and providing an annual progress report to the Graduate School
- h. taking the initiative to contact other students in the research area and arrange and take part in informal discussions alongside more formal research activities
- i. deciding when to submit the completed thesis, taking due account of the supervisor's opinion which is, however, advisory only; the supervisor's support of the decision to submit must not be taken as any guarantee that the degree sought will in fact be awarded – the recommendation to award rests entirely with the examiners
- j. ensuring that the thesis complies with all regulations including those relating to format and maximum lengths
- k. ensuring timely submission of the thesis to comply with University and Research Council requirements

The Role of the Postgraduate Tutor

- 9.33 Each Head of Department must appoint a Postgraduate Tutor. In order to avoid conflict of interests where students are supervised by the Department's Postgraduate Tutor, the Head of Department should appoint another member of staff as Postgraduate Tutor for these students. The Postgraduate Tutor works with the Head of Department to negotiate and meet the University's admissions targets for research students and is responsible for assisting with the building and maintenance of the critical mass of research students within the Department.
- 9.34 The Postgraduate Tutor will be responsible for:
- a. research student recruitment, including seeking supervisors and thesis committee members
 - b. establishing and organising Departmental progress monitoring procedures
 - c. co-ordinating annual assessments and reports to the Graduate School Office, particularly the transfer of registration at the end of the Advanced Postgraduate period
 - d. working with supervisors to ensure timely completion and thesis submission
 - e. ensuring that research students follow University regulations and any requirements specified by funding bodies, such as the Research Councils
 - f. monitoring student participation in research training during the Advanced Postgraduate period
 - g. implementing and monitoring the effectiveness of this Code of Practice within the Department
 - h. overall pastoral care of research students
 - i. mediating on any disputes between supervisors and students
 - j. acting on the student's behalf before appropriate University authorities
 - k. informing all postgraduate students of his/her functions and availability for consultation
 - l. ensuring regularity of contact between supervisors and students

Reporting Procedures

- 9.35 Departments are required to operate a formal procedure for the assessment of progress for each research student which includes the following components:
- a. Twelve months (twenty-four months for part-time students) after initial registration full-time students will be required to submit a progress report with components, such as literature surveys and conclusions to preliminary research questions, which reflect their work to date.

The report should also contain a research plan for the remaining period of registration, including research objectives, methods, and an approximate time plan for reaching these objectives by the end of the maximum registration period.
 - b. The report will be read and assessed by the supervisors and at least one other member of the academic staff. The student will then attend an oral examination or present a seminar in the Department and answer questions. The assessment of the examination or seminar will form the basis of the recommendation from the Department to the Graduate Dean for transfer of registration from Advanced Postgraduate status to a named research degree, an extension of Advanced Postgraduate status, or termination of registration.

- c. Twenty-four months after registration full-time students' progress will be assessed by the supervisors and co-examiner of the first year report. This assessment will include a careful study of the further work needed for completion of the thesis and an agreement of a time scale for completion.
 - d. Each student, supervisor, and Head of Department is required to make an annual report to the Graduate School on request which will include details of individual students' progress, research training, and Departmental procedures.
- 9.36 If, at any stage, the supervisor has serious doubts about the ability of students to achieve the degree for which they are registered the Head of Department should be notified immediately. Following consideration of the circumstances the Head of Department may then decide to report the student under the regulations concerned with neglect of academic obligations. In some cases, more supportive procedures (e.g., suspension of registration, reformulation of topic, transfer to a lower degree, or mutually agreed withdrawal with open testimonial) may be more appropriate.

Complaints Procedure

- 9.37 If a student feels that the research programme is not proceeding satisfactorily or legitimate expectations are not being met, the student may utilise the University's Complaints Procedures as detailed in Senate Regulation Twelve.

Final Examination

- 9.38 When a student submits notification of intention to submit a thesis the Graduate School Office notifies the relevant Head of Department and requests that an examiners nomination form be completed. The Head of Department, after consultation with the supervisor, will submit a recommendation to the Graduate Dean for consideration and approval.
- 9.39 There should always be at least two examiners, one of whom must be an external examiner. Internal examiners must be members of the academic staff of the University or hold Recognised Teacher Status. The candidate's supervisor may not act as the internal examiner. If, in exceptional circumstances, it is not possible to appoint an internal examiner a second external examiner must be appointed.
- 9.40 In addition to the two examiners a Chair may be appointed for a viva voce examination if the Graduate Dean or either of the examiners considers this appropriate or desirable. For example, the appointment of a Chair may be requested where the examining team has relatively little experience of examining UK research degrees or where there are two external examiners. The Chair will usually be a senior member of the academic staff of the Department in which the candidate is registered. He or she will not be required to examine the thesis but will be present to ensure that the viva is conducted in accordance with University procedures and standard practice for the discipline. The Chair will be required to submit a brief written report on the conduct of the viva.
- 9.41 In cases where the candidate is a member of the staff of the University and there is a possibility that the integrity of the examination may be considered to be compromised by the appointment of an internal examiner, the examination team will comprise two external examiners. An independent Chair will oversee the conduct of the viva voce examination but will not examine the thesis. Examination teams will be approved by the Graduate Dean in the first instance, who will determine whether the appointment of two external examiners is required.
- 9.42 The viva voce examination will be held at the University. In exceptional circumstances the viva voce examination may be conducted at another appropriate location, with the permission of the Graduate Dean. The supervisor should be available at the time of the viva voce examination to assist the examiners if required. The supervisor may be invited to be present during part or all of the viva voce examination, at the discretion of the examiners.

- 9.43 The internal and external examiners should prepare independent written comments on the thesis prior to the oral examination. After the viva voce examination, a joint report should be prepared including, where appropriate, an agreed recommendation. Where the original examiners are unable to reach agreement then a further external examiner will be appointed. The joint report accompanied by the examiners' individual reports should be submitted to the Graduate School Office.
- 9.44 The examiners' recommendations will take one of the following forms:
- a. immediate award of the degree
 - b. award of the degree subject to minor amendments to be approved by the internal examiner within one month of the viva
 - c. award of the degree subject to major amendments to be approved by the internal examiner within six months of the viva
 - d. referral for resubmission (with detailed advice about requirements) – thesis to be revised and resubmitted for the original or a lower degree with resubmission to take place within six months to twelve months as recommended by the examiners
 - e. award of a lower degree
 - f. fail with no right of resubmission
- 9.45 In recommending either resubmission (for the original or lower degree) or the award of a lower degree the examiners may take the wishes of the candidate into account. Although this can be discussed at the time of the viva voce examination, the student should not be required to give an immediate decision but should be given a reasonable time for reflection. The student's preference should be made known to the examiners prior to their recommendation being submitted to the Graduate School Office. It should be made clear to the student that the examiners are not bound to follow the student's preference.

Appeals

- 9.46 Any student whose registration is terminated or who is recommended for the award of a lower degree or who is recommended for resubmission for a lower degree will be notified of the University's appeal procedures by the Graduate School Office. These procedures are set out in Senate Regulation Ten.

Conferral

- 9.47 All degrees will be conferred at the degree congregation immediately following the formal award of the degree by the Senate of the University. All students should note the requirements on academic dress set out in Senate Regulation Four.

REGULATIONS GOVERNING RESEARCH DEGREES

Introduction

- 9.48 These Regulations apply to occasional postgraduate research students and to students reading for the Degrees of Master of Philosophy (MPhil), Master of Education (MEd), Master of Social Science (MSocSci), Doctor of Philosophy (PhD), Doctor of Education (EdD), Doctor of Clinical Psychology (DClinPsy), Doctor of Engineering (EngD), Doctor of Social Science (DSocSci), Doctor of Medicine (MD), Doctor of Psychology (PsyD), Doctor of Letters (DLitt), Doctor of Science (DSc), and Doctor of Laws (LLD).
- 9.49 All students are required as a condition of their registration to abide by the Senate Regulations and all other regulations and procedures approved and amended from time to time by the University throughout the period of their registration as a student.
- 9.50 The following research degrees are available in the Colleges indicated:
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| Arts, Humanities, and Law: | MPhil, PhD, DLitt, LLD |
| Medicine, Biological Sciences, and Psychology: | MPhil, PhD, DClinPsy, MD, PsyD, DSc |
| Science and Engineering: | MPhil, EngD, PhD, DSc |
| Social Science: | MEd, MSocSci, MPhil, EdD, DSocSci, PhD, DLitt |

Admission Requirements

- 9.51 To be registered for a research degree a candidate shall have a degree with a minimum of upper second class honours of a university of the United Kingdom or of the Council for National Academic Awards, or a qualification recognised by Senate as equivalent thereto, excepting that in special cases Senate may waive the requirement that a candidate shall have obtained the qualification stipulated above, but a candidate without such qualification shall be required to satisfy the examiners in a qualifying examination or otherwise be able to satisfy Senate that he/she is by virtue of previous training and experience or published work qualified to pursue postgraduate work. A qualifying examination shall consist of at least two written papers of final honours degree examination standard.
- 9.52 Candidates for research degree programmes must satisfy the University's English language entry requirements as described in Senate Regulation One.

Registration Procedures

- 9.53 Students are required to complete a registration process when they commence their studies with the University and will only be formally admitted to the University as registered students on satisfactory completion of this process.
- 9.54 At the time of first registration students receive a card of membership of the University. Students studying on campus should carry their student card with them at all times and produce it on request for inspection by any member of the University staff or official of the Students' Union.
- 9.55 The use of a card of membership is personal to the individual to whom it is issued and students must not allow it to be used by another person, whether registered at the University or not. If the card is lost or stolen this should be reported to the Graduate School Office in order that a replacement card can be issued. There is a charge for replacement cards.
- 9.56 Students undertaking any programme of study of more than one year's duration will be required to complete an annual re-registration process. Failure to complete the annual re-registration process by the specified deadline will result in students being withdrawn from their programme of study.

- 9.57 The period of registration shall be effective from 1st January, 1st April, 1st July, or 1st October whichever is appropriate. Each programme of study will have a prescribed minimum and maximum period of registration.
- 9.58 The maximum period of registration may only be exceeded where a student has experienced severe mitigating circumstances which are accepted by the University. An extension requires the prior approval of the Graduate Dean and will only be granted where it is deemed to be reasonable and will not compromise the standard or integrity of any award achieved as a result.
- 9.59 After registration students may only change or vary their programme of study (including transfer between modes of study) with the permission of the University.
- 9.60 Except for the purposes of teaching foreign languages, the medium of instruction at the University is English. All forms of University examinations and assessment are conducted in English unless they are designed to test written or spoken aptitude in a foreign language.

Dual Registration

- 9.61 Students registered on a full-time programme of study at the University may not be registered on another full-time programme either at the University or another institution.
- 9.62 Students studying on a part-time basis may be registered for more than one programme with the permission of the University, providing there is no substantial overlap in content between programmes. However, where such permission is granted academic pressure resulting from dual or multiple registrations will not be accepted as mitigating circumstances for poor academic performance.

Illness

- 9.63 Students who suffer a minor illness for a period of less than seven days are required to report this to their Departments:
- a. if the illness leads to absence from classes at which attendance is compulsory
 - b. where it might be a contributory factor in a failure to fulfil their academic obligations
- 9.64 Students who suffer an illness of more than seven days' duration or of a non-minor nature, should seek medical advice and obtain a medical certificate, copies of which should be submitted to their Department and to the Graduate School Office.
- 9.65 It is the responsibility of students who are required to produce medical evidence of fitness to continue or resume study to acquire such evidence by the date specified to them by the University.

Suspension of Registration

- 9.66 A student may be granted a period of suspension where it is accepted that she/he has personal mitigating circumstances. A suspension of studies is an approved period of absence from the programme of study and assessment for an award. Suspension of study indicates that a student is not actively studying but will continue to have access to many services of the University. Requests for suspension of study require the approval of the relevant Department and the Graduate School Office.
- 9.67 Students will be notified of the next point for return to the programme following a period of suspension. The University will not normally agree to period of suspension of more than one year in the first instance.

Withdrawal

- 9.68 A student wishing to withdraw permanently from her/his programme should notify the University in writing. Students who are considering withdrawal from their programme are strongly encouraged to first consult with their supervisor.
- 9.69 In cases where, due to non-attendance, the University considers that a student has withdrawn from a programme the student will be contacted at their registered addresses and asked to contact the University by a specified date. If a student fails to respond satisfactorily by the specified date it will be assumed that they have withdrawn from the University.

Personal Conduct

- 9.70 All students should note the requirements for student discipline set out in Senate Regulation Eleven.

Residence and Dispensation from Residence

- 9.71 Full-time students undertaking a research degree are required to remain in residence for the full period of their registration. Full-time students may be granted dispensation from this requirement by Senate for such periods as Senate may decide.

Address and Accommodation

- 9.72 All students must register their term-time address with the University and all students must notify the Graduate School Office immediately of any change of address.
- 9.73 The University reserves the right at any time to refuse to allow a student to remain in any specified lodgings or flat. Students living in lodgings or flats are expected to conform to a reasonable standard of behaviour and failure to do so will be regarded as a breach of regulations.

International Student Visa Requirements

- 9.74 All international students (if non EU) studying a programme requiring attendance on campus will be required to show evidence of a valid immigration status and to fulfil the requirements set out in Senate Regulation Four.

Supervision

- 9.75 Supervisors of research degree candidates shall be appointed by Senate.
- 9.76 Students shall be required to consult their supervisors regularly, in accordance with the requirements of the Code of Practice for Research Degrees.
- 9.77 A person who is not a member of University staff but is deemed suitable by Senate may be accorded the status of "associate supervisor". The position of associate supervisor is an official appointment approved by the Graduate Dean. The associate supervisor is not eligible for appointment as the external examiner of any student they supervise. The associate supervisor assists the supervisor in overseeing the work of the student and, in appropriate circumstances, undertakes direct personal supervision.
- 9.78 Final responsibility for ensuring the provision of adequate supervision rests with the supervisor. Responsibilities of the supervisor are given in the Code of Practice for Research Degrees.

Ethical Approval of Student Work

- 9.79 Work undertaken by students involving human participants will require ethical approval prior to its commencement. Students should familiarise themselves with any procedures relating to the approval of work on ethical grounds including the need to complete Ethics Monitoring Forms for review by the relevant supervisor or, where required, submit a proposal to a Departmental Ethics Working Group. If any aspect of the proposed work may be ethically controversial the work cannot proceed until permission has been obtained from the relevant Research Ethics Committee.
- 9.80 Students must consult their supervisor if there are any major proposed changes in research for which they have received ethical approval. Students who fail to seek appropriate approval prior to commencing their work, or who fail to consult with their supervisor regarding major changes to their work once it has commenced, will normally be regarded as having breached the University's Regulations.

Academic Offences and Neglect of Academic Obligations

- 9.81 The University's primary functions of teaching and research involve a search for knowledge and the truthful recording of the findings of that search. Any action knowingly taken by a student which involves misrepresentation of the truth may be considered academic dishonesty and as such is an offence which the University believes should merit the application of very severe penalties.

Offences in this category include, but are not confined to:

- a. cheating in written examinations
 - b. copying work from or using work written by another person
 - c. soliciting or commissioning work
 - d. making work available to another person for copying
 - e. copying from published authorities, including on-line sources, without acknowledgement
 - f. pretending ownership of another's ideas
 - g. falsifying results
- 9.82 Cheating involves actual or attempted deception and/or dishonest action in relation to any academic work of the University. Taking unauthorised material into an examination (including revision notes or unauthorised equipment) shall be regarded as attempted deception.
- 9.83 Plagiarism is used as a general term to describe taking and using another's thoughts and writings as one's own. Plagiarism can occur not only in essays and dissertations, but also in scientific experimentation, diagrams, maps, fieldwork, computer programmes, and all other forms of study where students are expected to work independently and produce original material.

Where plagiarism is identified, Departments are authorised to apply through the relevant Board of Examiners the following penalties:

- First offence during the development of the thesis: Severe written warning
- Plagiarism in the submitted thesis: Normally failure without the right of resubmission

- 9.84 Collusion is the active cooperation of two or more students to deceive examiners in one of the ways set out in this part of the regulations. A student is also guilty of collusion who knowingly allows any of his or her academic work to be acquired by another person for presentation as if it were that person's own work. A student who offers to provide work to another to be passed off as the others' own is guilty of collusion.
- 9.85 The nature of a research student's academic obligations varies from programme to programme and from department to department. The responsibilities of students registered as Advanced Postgraduates or for named research degrees are detailed in the Code of Practice for Research Degrees. If supervisors/thesis committees have concerns about whether students are meeting their academic obligations or have serious doubts about students' progress or ability to achieve the degree for which they are registered the Head of Department should be notified immediately.

The Head of Department, in consultation with the Postgraduate Tutor and thesis committee, will decide on the most appropriate course of action. The Head of Department should ensure that students fully understand their responsibilities and the reasons why their progress is considered to be unsatisfactory. Initial measures taken by the Department will usually be supportive; for example, suspension of studies if there are personal or medical difficulties, reformulation of topic, or transfer to a lower degree. If, following such action, a student's progress or attendance remains unsatisfactory, or the student is unable to demonstrate the ability to perform at the required level, the Head of Department may report the student to the Graduate School Office. The student should be advised of this decision in writing.

The Department should submit a report detailing its recommendation with supporting evidence to the Head of the Graduate School Office. The Graduate School Office will advise the student of the receipt of the report and invite them to make a written statement. The Department's report and the student's statement will be considered by the Graduate Dean who will determine one of the following:

- i. that no further action is taken
- ii. that a formal warning be issued to the student that if their progress remains unsatisfactory or they continue to neglect their academic obligations their registration may or will be terminated
- iii. that the student's registration be terminated

The Graduate School Office will notify the student of the recommendation in writing and, where appropriate, their right of appeal against it.

Probationary Period of Study

- 9.86 Candidates who wish to read for the degree of MPhil or PhD shall normally register as Advanced Postgraduate students and be given a period of twelve months full-time or twenty-four months part-time before the expiry of which they shall be required to register for a specific degree.
- 9.87 Such candidates shall, for the duration of their registration as Advanced Postgraduate students, be regarded as undergoing the requisite period of probationary study for the degree to which they aspire, and the period of probation shall terminate on registration for a specific degree. A candidate who in exceptional circumstances is registered initially for a specific degree shall be required to submit himself to a probationary period of study of up to six months from the date of registration. Upon special request from a candidate's supervisor, this period may be extended by a further three months.

Period of Registration

9.88 The prescribed minimum and maximum periods of registration shall be calculated by reference to the date of a candidate's original registration, either as an Advanced Postgraduate student or as a student reading for a specific degree.

9.89 Candidates for research degrees shall maintain registration for at least the period set out below before submitting a thesis for the degree for which they are registered:

PhD	if full-time: 2 years if part-time or distance learning: 3 years
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MPhil	if full-time: 1 year if part-time: 2 years
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excepting that candidates for the degree of MPhil in the College of Social Science shall maintain registration for the following minimum periods:

	if full-time: 2 years if part-time: 3 years
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9.90 Candidates for research degrees shall not, other than with the approval of Senate, maintain their registration beyond the following maximum periods:

PhD	if full-time: 4 years if part-time or distance learning: 6 years
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MPhil	if full-time: 2 years if part-time: 4 years
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excepting that candidates for the degree of MPhil in the College of Social Science shall not, other than with the approval of Senate, maintain their registration beyond the following maximum periods:

	if full-time: 3 years if part-time: 5 years
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Writing-Up

9.91 Students who have completed the minimum period of registration for a research degree, and have concluded active pursuit of their research, may, with the support of their supervisor, apply to the Graduate School Office (or in the case of MD students, apply to the College Research Degrees Committee) for transfer to writing-up status.

9.92 Writing-up students may have access to appropriate word processing/computing facilities with the approval of the relevant Head of Department and may also be permitted appropriate use of Library facilities. Writing-up students will also continue to have appropriate support from their supervisors.

9.93 The maximum period of registration as a writing-up student is one year, and this period is counted as part of the maximum registration periods given above.

Submission of Theses

9.94 Candidates must submit a notification of intention to submit form to the Graduate School Office at least three months before they intend to present their thesis for examination. The date of submission must fall within the maximum period of registration for the degree for which they are registered and the candidate must be a registered student at the time of submission.

- 9.95 Candidates should submit two perfect bound copies of their thesis. The thesis must be in English unless special permission has been given, prior to submission, for it to be in another language.
- 9.96 The thesis must be accompanied by a statement signed by the candidate certifying that it is the result of work done mainly during the period of registration and that, in the case of joint work, a substantial part is the original work of the candidate. Where the thesis incorporates material submitted for another degree explicit details must be given about the extent of the material and the degree, if any, awarded.
- 9.97 The final version of the thesis will be made available for consultation within the University Library and electronically through the Leicester Research Archive unless the express permission of the Graduate Dean is obtained by the author to restrict access to it. Such permission must be obtained before the thesis is submitted. Where permission is given access to the thesis may be restricted for a period of up to three years.

Length of Theses

- 9.98 College of Arts, Humanities, and Law and College of Social Science: the length of theses (including appendices and footnotes, but excluding the bibliography) should not exceed the following limits:

PhD	80,000 words
MPhil	50,000 words

- 9.99 College of Science and Engineering: the length of theses (excluding tabulated data and diagrams) should not exceed the following limits:

PhD	50,000 words
MPhil	30,000 words

- 9.100 College of Medicine, Biological Sciences, and Psychology: the length of theses (excluding contents lists, tabulated data, diagrams and references) should not exceed the following limits:

PhD	50,000 words
MPhil	30,000 words

Except, where the research involves qualitative or "case study" research, in which case the lengths of text (excluding contents lists, tabulated data, diagrams and references) in theses should normally not exceed:

PhD	80,000 words
MPhil	50,000 words

- 9.101 Candidates must state the approximate number of words in their thesis when submitting it for examination. Any request to extend word limits must be submitted to the Graduate School Office for approval by the Graduate Dean. Such approval will only be granted in exceptional circumstances.

Format and Binding

- 9.102 Theses should be presented on A4 paper, single-sided, normally with 12 point font typescript, with double spacing and good quality printing. There should be a margin of at least 3.5 cm on the left side of the page, both for typescript and diagrams to allow for binding. Other margins should be at least 2.5 cm.
- 9.103 Explanatory notes should stand at the foot of the relevant pages and the bibliography should follow the text and any appendices.

9.104 The first page of the thesis should be a title page to include the following:

- full title of the thesis
- degree for which the thesis is submitted
- year of submission
- candidate's full name

9.105 The title page should be followed in this order by:

- abstract page
- acknowledgement page
- list of contents
- main body of the thesis

If there are any addenda to the thesis (such as loose maps or CD-ROMs) these should be securely housed in a pocket attached to the back cover of the thesis and individually labelled with the name of the author, the degree and the date submitted.

Abstracts

9.106 The thesis abstract is deemed to be an integral part of the work to be examined, and must be produced in strict accordance with the following requirements:

- A copy of the abstract should be bound into each copy of the thesis
- The abstract must not exceed 300 words, must be produced with single spacing on one side of A4 paper, and must be suitable for photographic reproduction
- The abstract must show the author and title of the thesis in the form of a heading

Practice-Based Theses

9.107 Subject to approval from the Department at the point of admission, students registered for the degrees of PhD and MPhil may submit for examination a thesis comprising both a written and a practical component. Both components of the thesis should form a coherent whole that demonstrates original research and contains material that is deemed worthy of publication/public exhibition. Both components of the thesis must have been undertaken mainly over the student's period of registration and be the student's own work.

9.108 Students submitting a practice-based thesis of this type are required to give notification of intention to submit a thesis at least three months in advance of submission (as above, 9.94). In the case of practice-based submissions this notification must also confirm the form in which the practical component of the thesis will be made available for examination.

9.109 The length of the written component of the thesis, including appendices and footnotes but excluding the bibliography, should not exceed the following limits:

PhD	40,000 words
MPhil	25,000 words

- 9.110 The written component of the thesis should be presented according to the requirements set out above in 9.102 – 9.106.
- 9.111 The practical component of the thesis should be submitted as a creative output appropriate to the area of research. The exact form the submitted practical component should take must be discussed and agreed with the supervisor before submission and is subject to approval by the internal examiner.
- 9.112 In the case of practice-based submissions, both the written and practical components of the thesis shall be subject to an oral voce examination. Examiners shall be required to attend a presentation of the practical component of the thesis and this presentation should be arranged to coincide with the viva voce examination.

Examination and Assessment

- 9.113 To be admitted to the degree of Master of Philosophy a candidate shall have satisfied the examiners by means of a thesis and an oral examination. A candidate may submit in support of the thesis any published work in the general field of the approved study.
- 9.114 To be admitted to the degree of Doctor of Philosophy a candidate shall have presented a thesis on the advanced study and research which has satisfied the examiners and contains original work, and contains material which is deemed worthy of publication, and shall have satisfied the examiners in an oral examination. A candidate may submit in support of the thesis any published work in the general field of the approved study.
- 9.115 To be admitted to the degrees of Doctor of Education, Doctor of Engineering, Doctor of Clinical Psychology, or Doctor of Social Science a candidate will have successfully completed the assessments associated with the taught elements of the programme as specified in the regulations and presented a thesis which has satisfied the examiners and contains original work, and contains material which is deemed worthy of publication, and shall have satisfied the examiners in an oral examination. A candidate may submit in support of the thesis any published work in the general field of the approved study.
- 9.116 Where appropriate, a candidate in geology reading for the degree of PhD will be required to submit, for approval by the examiners, representative suites from the geological materials used and other relevant data, including computer programmes.

Results

Master of Philosophy

- 9.117 The examiners may recommend that a candidate shall pass (with or without amendments to the thesis), or shall fail, or shall be referred with a view to resubmission and/or re-examination as appropriate. The examiners may recommend the award of the degree with distinction in cases of exceptional merit.

Doctor of Philosophy

- 9.118 The examiners may recommend that a candidate shall pass either for the degree of Doctor of Philosophy or for that of Master of Philosophy (with or without amendments to the thesis), or shall fail, or shall be referred with a view to resubmission for the degree of Doctor of Philosophy or Master of Philosophy. In recommending the award of a Masters degree the examiners may take the wishes of the candidate into account.
- 9.119 In the case of practice-based submissions, where the recommendation is a pass subject to amendments or a referral for resubmission the examiners can require amendments to the written component, the practical component, or both.

Referral

- 9.120 A candidate shall be referred if the thesis or other submitted materials, although satisfactory in other respects, do not reach the approved standard in such matters as methodical exposition and demonstration, relevance, and coherence of argument and effectiveness of style.
- 9.121 The period of referral recommended shall be not less than six months and not more than one year. The oral examination on a resubmitted thesis or on other re-submitted materials may be omitted at the examiners' discretion. Students who are referred for resubmission will be required to pay a re-examination fee; see Senate Regulation Three for current fees.

Final Submission of Theses

- 9.122 Following the recommendation that a candidate be awarded a degree one hard-bound thesis should be submitted to the Graduate School Office. The cover of the hard-bound thesis must be standard green (Aberlave Library Buckram No. 563).
- 9.123 In addition an electronic copy of the thesis should be submitted for deposit in the Leicester Research Archive. An electronic copy of the thesis must be submitted even if the Graduate Dean has given permission to restrict access to it.
- 9.124 In the case of practice-based submissions, students must also submit a permanent record of the practical component of the thesis for deposit in the University Library; this record may consist of a physical artefact, photographs, or an audio-visual record.

Procedures Following Examination

- 9.125 The University will normally accept the report of the examiners. If there is a recommendation that a candidate should fail the University will normally decide that the student's course be terminated.
- 9.126 If the University does not accept the report of the examiners with a recommendation other than that a candidate should fail it will, in the first instance, refer the report back for consideration, together with any new evidence that it thinks relevant. Such reconsideration may or shall, as stipulated by the University, include a second oral examination.

If after such reconsideration by the examiners the University is unable to accept their report:

- i. in the case only of a candidate for a doctoral degree whom the examiners either have recommended for a Masters degree or have recommended for referral with a view to resubmission for a Masters degree, the University may decide that the candidate should be referred with a view to resubmission for the relevant doctoral degree
 - ii. in all cases, the University may in exceptional circumstances decide to appoint new examiners
- 9.127 If the University does not accept the report of the examiners with a recommendation that the candidate should fail it will, in the first instance, refer the report back for reconsideration, together with any new evidence that it thinks relevant. Such reconsideration may, or shall, as stipulated by the University, include a second oral examination. If after such reconsideration by the examiners the University is unable to accept their report, the University may decide that the candidate be referred in any manner that the examiners had the power to recommend. In exceptional circumstances the University may decide to appoint new examiners.

The Degree of Doctor of Medicine

9.128 The Degree of Doctor of Medicine may be awarded:

- a. to a graduate in medicine of the University of at least three years standing, or
- b. to a graduate in medicine of another University recognised by Senate for this purpose, provided that:
 - i. the qualification was obtained at least three years previously
 - ii. the qualification is recognised for registration by the General Medical Council of the United Kingdom
 - iii. the intending candidate is, at the time of his/her application, a member of the academic staff of the University or is otherwise engaged in appropriate clinical or scientific work within the Leicestershire area or, in special cases, in any hospital associated with the Leicester Medical School

Exceptionally, Senate may waive the requirement that a candidate shall be a graduate in medicine of a University, but in such cases the candidate will be required to hold a qualification recognised for registration by the General Medical Council of the United Kingdom, obtained at least five years previously and be, at the time of application, a member of the academic staff of the University or otherwise engaged in appropriate clinical or scientific work within the Leicestershire area or in any hospital elsewhere associated with the Leicester Medical School.

9.129 To be admitted to the Degree of Doctor of Medicine a candidate shall have satisfied the examiners either:

- a. by means of a thesis in any branch of medicine, surgery, or medical science, which has been specifically composed for the purpose, includes a review of the relevant background literature, contains a critical account of original laboratory-based or clinical research, carried out personally by the candidate, that constitutes a significant contribution to knowledge, and is deemed to contain material which is deemed worthy of publication and shall have satisfied the examiners in an oral examination

or

- b. with the approval of the Research Degrees Committee, by submission of collected inter-related published works or clinical case studies embodying original work, of which a substantial proportion has been carried out personally by the candidate, and constituting a significant contribution to knowledge

In either case an oral examination is compulsory, which is held in Leicester and arranged by the Internal Examiner. A candidate may submit in support of his/her thesis any of his/her published work in the general field of his/her approved study.

9.130 The attention of candidates is drawn to the Postgraduate Researcher Handbook which is available from the Graduate School website – www.le.ac.uk/gradschool

Registration, Progression, and Submission

- 9.131 A candidate intending to submit a thesis of original research for the degree of MD shall first provide, for the approval of the Research Degrees Committee, an outline of his/her proposed field of study, its scope, and the methods of investigation to be employed. This must be accompanied by a recommendation to admit the candidate endorsed by four members of academic staff of the relevant Department of this University; one should be the Head of Department; the Postgraduate Tutor and then by two proposed supervisors.
- 9.132 If the outline is approved, the candidate will register as a postgraduate student in the College of Medicine, Biological Sciences, and Psychology of the University of Leicester. A supervisor, with duties as outlined in the Code of Practice for Research Degrees, will be appointed to oversee the planning and development of the research and the preparation of the thesis. For Leicester graduates carrying out research outside Leicester, a supervisor from the host institution and a mentor from Leicester, who must be a full-time member of staff and who has agreed to act, will be appointed. The Leicester mentor will work with the postgraduate tutor to ensure satisfactory progression and completion of the research project.
- 9.133 Normally the minimum period of registration shall be for two years and will not normally be extended over five years, with the first year at Advanced Postgraduate (APG) status (see Induction and Research Training below). Transfer to MD registration will take place at the end of year one subject to satisfactory progress and the recommendation of the Head of Department and supervisor, and for external candidates the Leicester mentor. The Medicine Higher Degrees Committee requires the supervisor to submit an annual written report, agreed with the candidate, on the candidate's progress. A candidate must be registered on the MD programme for one full year, following first year registration at APG status, before being permitted to submit his/her thesis.
- 9.134 The thesis must be submitted no later than five years from the date of original registration and the candidate must give the Medical School Office not less than three months' notice in writing of the date on which he/she intends to submit the thesis, stating at that time the title of the thesis.

Induction and Research Training

- 9.135 Candidates are expected to undergo additional skills training during their APG year in order to enhance their research effectiveness. Therefore in consultation with their supervisor they should assess their training needs at the same time as MD registration; the Medicine Higher Degrees Committee has designated the training topics to be of direct relevance to MD candidates. In particular, all candidates undertaking clinical or health care related research must undertake training in the core topics or present evidence of equivalent training having already been taken. In addition, candidates are strongly recommended to develop their skills in the topics which will aid thesis and publication writing and the delivery of presentations. Details of the skills training on offer through the College research skills training programme and through Student Development and the Academic Practice Unit are available on the University web site.

Award of the Degree of Doctor of Medicine by Published Work

- 9.136 Members of the academic and related staff of the University of Leicester who have been in post for more than three years, or retired members of the academic staff with the same minimum period of service, or graduates in medicine of the University of Leicester of at least three years standing may apply under the conditions set out below to be considered for the award of the degree of MD on the basis of published work.
- 9.137 A candidate intending to submit published work shall first provide, for the approval of the Research Degrees Committee, a brief synopsis of the publications to be presented; if his/her application is accepted he/she must furnish two copies of all published work which he/she wishes to submit plus two copies of a 5,000 word summary describing the scope and content of the submitted work and evaluating its contribution to the advance of the subject. Where the submission consists of a number of publications other than books, the whole must be bound together, with the critical assessment, in the form prescribed for the binding of theses. One copy of the work or works for the award of the degree will be retained by and become the property of the University.
- 9.138 The published work submitted for consideration must meet the following requirements:
- a. the submission must comply with the general requirements for the degree of MD, in that it must constitute advanced study and research which contains original work
 - b. the publication must form a coherent and substantial body of work, which is capable of assessment in single oeuvre
 - c. the published work must represent a contribution to knowledge, showing evidence of originality, independent critical powers and clarity of thought, and applying research methods appropriate to the particular field of study
 - d. the published work submitted by a candidate may range over a number of different topics, but these should normally relate in a coherent way to a field of knowledge within the College. The treatment of these topics should be substantial
 - e. greater weight will be attached to a few peer-reviewed publications than to a larger number of short reports. It would be expected that the candidate is first author on the majority of publications
 - f. it would normally be expected that the work would be completed not longer than ten years
 - g. the rate at which the work has been done will be considered
 - h. the work must not have been previously submitted by the candidate for any other degree awarded by the University of Leicester or by any other institution
 - i. only work published in journals, or in book form, or otherwise in the public domain will qualify for consideration. The work must be generally available for consultation by scholars and identifiable in academic library catalogues
 - j. graduates from other universities may submit for the MD by Published Work provided that at least one half of the publication must arise from research undertaken while the candidate was employed as a member of the academic staff at the University of Leicester
 - k. a Leicester graduate of at least three years standing and from any institution that they are based
- 9.139 Applications should be made to the Administrative Assistant (Student Programmes) on a standard form obtainable from the Medical School Office. The application must be accompanied by the following (two sets of each):

- a. a statement from the candidate accompanied by a letter from the Head of Department confirming that the application has been made following consultation with the Head of Department concerning the suitability of the work for submission
- b. a signed statement advising how far the work submitted is based on the candidate's own independent study, making it clear, for each publication, how far the work was conducted in collaboration with or with the assistance of others and the conditions and circumstances in which the work was carried out
- c. a complete list of the publications to be submitted indicating:
 - i. those completed while the candidate was a member of the academic staff at the University of Leicester, or a Leicester graduate undertaking research at their host institution
 - ii. the nature and extent of any collaborative work, including the names of any co-authors
- d. a 5,000 word summary describing the scope and content of the submitted work and evaluating its contribution to the advancement of the subject
- e. a curriculum vitae
- f. two sets of the material to be assessed
- g. a submission fee (see Senate Regulation Three for current fees)

Candidates may submit two copies of the following:

- a. a statement explaining the significance of the publications
- b. manuscripts already accepted for publication, on A4 paper and securely bound (not in a ring binder)
- c. supplementary data such as questionnaires or reviews of literature

All material not already in bound form must be bound before submission in accordance with the University's standard requirements – i.e., in A4 format, hard-bound, standard green (Aberlave Library Buckram No. 563).

- 9.140 The submitted work will be examined by two external examiners, who will be required to produce an agreed report. Candidates will attend an oral examination.
- 9.141 It shall not be recommended that a candidate shall pass unless his/her submission, which may be satisfactory in other respects, reaches an approved standard in any such matters as methodical exposition and demonstration, relevance and coherence of argument, and effectiveness of style.
- 9.142 In cases of exceptional merit, the degree may be awarded with distinction.
- 9.143 Candidates who fail to satisfy the examiners will not normally be allowed to present themselves for re-examination.

The Degree of Doctor of Psychology

- 9.144 The minimum period of registration is two years; the maximum period of registration is five years.
- 9.145 Candidates will be HPC-registered applied psychologists with existing postgraduate qualifications in their discipline.
- 9.146 Students are required to complete a critical literature review, a substantial research project, and a service evaluation. These three assignments must be relevant to practice within the student's profession and normally the literature review will be thematically related to the research project.
- 9.147 The primary means of assessment of the PsyD degree will be through the submission of a thesis portfolio (which reports on the work undertaken by the student) and a subsequent viva voce examination based on the thesis.
- 9.148 The length of the thesis portfolio should not normally exceed 30,000 words excluding tables, references, and appendices. The thesis portfolio must contain original work of publishable quality and should include the following components:
- i. A critical literature review, the topic normally being relevant to the research question addressed in the main study (of around 5,000 words and a maximum of 6,000 words)
 - ii. A self-contained research paper which reports on the main study and which conforms to the requirements of a peer-reviewed journal appropriate to the research topic, selected by the student and his/her supervisor (maximum of 13,000 words)
 - iii. A reflective critique of the work (maximum of 5,000 words)
 - iv. A service evaluation or audit report based on the student's area of practice or service setting which may have no direct relationship to i, ii, or iii above (maximum of 6,000 words)
- 9.149 Following the oral examination the examiners may make the following recommendations:
- i. Award of the degree of Doctor of Psychology
 - ii. Award of the degree of Doctor of Psychology subject to minor amendments to be completed within one month
 - iii. Award of the degree of Doctor of Psychology subject to major amendments to be completed within six months
 - iv. Referral for resubmission for the degree of Doctor of Psychology within six to twelve months, with or without re-viva at the discretion of the examiners
 - v. Fail with no right of resubmission

AWARD OF DEGREE BY PUBLISHED WORK**The Degree of Doctor of Philosophy**

9.150 Members of the academic staff of the University of Leicester who have been in post for a minimum of three years, or retired members of staff with the same minimum period of service may apply under the conditions below to be considered for the award of the degree of PhD on the basis of published work.

9.151 Members of staff who wish to register for the degree of PhD by published work should consult their Head of Department in the first instance and then obtain the standard application form from the Graduate School Office.

9.152 The published work submitted for consideration must meet the following requirements:

- i. the submission must comply with the general requirements of the degree of PhD, in that it must constitute advanced study and research which contains original work
- ii. the publications must form a coherent and substantial body of work, which is capable of assessment as a single oeuvre
- iii. the work must not have been previously submitted by the candidate for any other degree awarded by the University of Leicester or by any other institution
- iv. only work published in journal, or in book form, or otherwise in the public domain will qualify for consideration. The work must be generally available for consultation by scholars and identifiable in academic library catalogues

9.153 Candidates should submit an application form and a list of the publications which they intend to submit for examination to the Graduate School Office. These will be considered by the Graduate Dean in consultation with staff in the appropriate College. If the case for submission is agreed the Head of Department will be required to appoint an adviser who will support the candidate through the submission process.

9.154 It is expected that submission will normally take place within one year and candidates are required to give the Graduate School Office three months' notice of their intention to submit.

9.155 The formal submission will include the following:

- i. The standard application form for the degree of PhD by published work
- ii. A complete list of the publications to be submitted indicating the nature of any collaborative work, including the names of any co-authors
- iii. A 5,000 word summary describing the scope and content of the submitted work and evaluating its contribution to the advancement of the subject
- iv. Two sets of the material to be assessed
- v. A submission fee (see Senate Regulation Three for current fees)

9.156 All material not already in bound form must be bound before submission in accordance with the University's standard requirements. The submission will be examined by two external examiners appointed by Senate. Examiners will be required to submit preliminary reports and an agreed report. Candidates will be required to attend an oral examination.

9.157 Candidates who fail to satisfy the examiners will not normally be allowed to present themselves for re-examination on the same material.

9.158 One copy of the work or works approved will be retained in the University Library.

The Degrees of Doctor of Letters, Doctor of Science, and Doctor of Laws

- 9.159 The degree of Doctor of Letters, Doctor of Science, or Doctor of Laws may be awarded to a graduate of the University, or to a graduate of the University of London who took his/her degree as a registered student of the University College of Leicester, or to a graduate member or former member of the academic staff of the University with at least three years' service, who shall be deemed by the University, after considering a report from the Board of Examiners, to have produced published work constituting a sustained, original, and distinguished contribution to knowledge.
- 9.160 To be admitted to the degree of Doctor of Letters, Doctor of Science, or Doctor of Laws a candidate must have been admitted to a Bachelors degree not less than nine years previously or to a Masters degree not less than eight years previously or to the degree of Doctor of Philosophy not less than six years previously.
- 9.161 An application for the degree of Doctor of Letters, Doctor of Science, or Doctor of Laws may be submitted at any time on the appropriate application form. If Senate accepts the application it shall appoint a Board of three examiners, two of whom shall be external to the University, except that, where the application is made by a member of the staff of the University, the University may decide not to appoint an internal examiner.
- 9.162 When the University accepts an application a candidate will be required to submit three copies of the published work which forms part of the submission for the degree. The submission must be presented in line with University requirements as specified in the notes for guidance issued to candidates. A substantial amount of the work submitted must be independent work published in the candidate's own name, and should demonstrate their unique contribution to the field of research. In the case of conjoint work the candidate must produce satisfactory evidence of the extent to which he was responsible for the initiation and conduct or direction of the work. The candidate must also indicate what part, if any, of the work has been submitted for a degree of this or any other University by themselves or, in the cases of conjoint work, by any of their collaborators.
- 9.163 One copy of the work or works approved for the award of the degree will be retained in the University Library.

RESEARCH DEGREES INCLUDING A TAUGHT ELEMENT

The Degree of Doctor of Clinical Psychology

Period of Registration

9.164 The maximum period of registration is three years full-time.

Entry Requirements

9.165 Candidates must have a first degree in psychology (or equivalent) which is accepted as offering the "Graduate Basis for Registration" of the British Psychological Society.

Curriculum

9.166 The curriculum will consist of three elements:

- i. Formal instruction and directed reading covering the main areas of the application of psychological findings and principles to the resolution of clinical problems. There are six academic teaching strands:
 - a. Clinical problems across the lifespan
 - b. Clinical skills
 - c. Personal and professional skills
 - d. Research
 - e. Service delivery and organisation
 - f. Theoretical models
- ii. A series of formal supervised clinical placements
- iii. The conduct of small scale research projects encompassing different methodologies together with a more sustained piece of research with the latter being written up as a thesis

Assessment

9.167 Assessment consists of four elements:

- i. Academic assignments and clinical skills assessments (e.g., literature review, clinical case reports)
- ii. Reports of small scale research studies
- iii. Reports of competence developed on clinical placements
- iv. Thesis – the total length for the entire thesis should be no more than 24,000 words including tables and references but excluding appendices, and 29,000 words including appendices

In order to qualify for the award of the degree candidates will need to satisfy the examiners in all aspects of the assessment.

9.168 Trainees who have successfully completed the requirements of the course for the degree of Doctor of Clinical Psychology will be awarded the degree if they are deemed by the University to be fit to practise. Trainees may be required to withdraw from the University or to transfer to another course if at any time during the Doctor of Clinical Psychology programme the University concludes that there is sufficient reason to judge that they will be unfit to practise.

9.169 In all cases an oral examination will be held and a candidate may submit other published work of his/her own from the same general field of study in support of a thesis.

9.170 Two copies of the thesis must be submitted to the Graduate School Office in a form suitable for publication. The thesis must be in English and the copies must be word processed, typewritten, or printed, and bound in the prescribed manner. Two copies of the thesis will, if approved for the award of the degree, be retained and become the property of the University.

9.171 The examiners may recommend that a candidate shall pass, fail, or be referred. It shall not be recommended that a candidate shall pass unless the submission, which may be satisfactory in all other respects, reaches an approved standard in such matters as methodical exposition, effectiveness of style, and the relevance and coherence of argument.

Any period of referral shall not be less than six months and not more than twelve months.

The Degree of Doctor of Education

Period of Registration

9.172 The minimum period of registration is three years; the maximum period of registration is five years. The Doctor of Education is available for part-time study only.

Entry Requirements

9.173 Candidates will normally have a Masters degree in education from a UK university or its equivalent in a discipline related to their subject topic. Candidates are also required to have a minimum of three years' professional experience at an appropriate level.

Course Aims

9.174 To enable professionals to conduct doctoral standard research in their own or neighbouring institutions to illuminate practice and provide a foundation for improvements in the quality of education at site level; to conduct research on policy in a national or local context; and to extend and deepen students' professional knowledge and their ability to reflect critically on professional practice.

Curriculum

9.175 All candidates will take the following core modules:

Module	Core/Optional	Credits
ED8009 Identifying Your Research Agenda: Contemporary Issues in Education	C	15
ED8011 Forming Appropriate Conceptual Frameworks	C	30
ED8012 Designing Your Research Study	C	30
ED8014 Thesis Proposal	C	45
ED8015 Thesis	C	330

Assessment

9.176 The taught module ED8009 will be assessed by a 2,500-3,000 word assignment; modules ED8011 and ED8012 will be assessed by a 4,000-5,000 word assignment. Module ED8014 is assessed by a 5,000-6,000 word thesis proposal.

- 9.177 Candidates will be required to submit two Progress Reports (5,000 words each not formally assessed) and a Probation Report (12,000) in their second year of study. The Probation Report will report on a pilot study based on the research methods to be used in the final thesis. It will demonstrate an ability to relate the literature to the research topic and investigate research questions using appropriate methods of investigation and analysis.
- 9.178 Candidates will also be required to submit across the remaining period of study, seven further Progress Reports which will be drafts of their thesis chapters (5,000 words each not formally assessed) and a thesis of no more than 55,000 words. The thesis topic will usually be closely related to the subject strand being followed by the candidate and must be in an area which can be supervised by an academic member of staff of the School of Education. It must contain original work of publishable quality.
- 9.179 The thesis will be examined by an internal and external examiner in line with the University's Code of Practice for Research Degrees. An oral examination will be held at the University of Leicester unless there are exceptional circumstances in which case permission must be sought from the Graduate Dean to hold the examination at another appropriate location.
- 9.180 Candidates will be permitted to resubmit assignments once only for any of the modules, the Probation Report and the thesis at the discretion of the examiners.

Qualifications Awarded

- 9.181 Following the oral examination the examiners may make the following recommendations:
- i. immediate award of the degree of Doctor of Education
 - ii. award of the degree of Doctor of Education subject to minor amendments to be approved by the internal examiner within one month of the viva
 - iii. award of the degree of Doctor of Education subject to major amendments to be approved by the internal examiner within six months of the viva
 - iv. referral for resubmission (with detailed advice about requirements) – thesis to be revised and resubmitted for the degree of Doctor of Education with resubmission to take place within six months to twelve months as recommended by the examiners
 - v. award of the degree of Master of Philosophy
- 9.182 Candidates who successfully complete all of the taught modules and the assignment for each module (120 credits), but who do not progress to the thesis may be recommended for the award of Postgraduate Diploma in Educational Research.
- 9.183 Candidates who successfully complete all of the taught modules and the assignment for each module (120 credits), and complete the Progress Reports in Year Two and successfully pass the Probation Report (60 credits), but who do not continue with their thesis may be recommended for the award of Master of Education Research Inquiry.

The Degree of Doctor of Social Science

Period of Registration

9.184 The minimum period of registration is four years; the maximum period of registration is six years. The Doctor of Social Science is available for distance learning study only.

Entry Requirements

9.185 The minimum entry requirement is a first degree with upper second class honours but candidates will normally have a Masters degree. Candidates with a Masters degree in an appropriate discipline may be considered for exemptions of up to 90 Masters level credits and will therefore be required to complete 450 credits at doctoral level.

Course Aims

9.186 To provide the latest and most sophisticated theoretical knowledge for practitioners; to ensure that this knowledge can be used to inform practice and that practitioners can critically engage with developments in their field; to equip members of the profession to work with the tools and techniques necessary to conduct and evaluate research pertinent to their professional interests; and to enhance the growing discipline areas of Human Resource Development and labour market studies.

Curriculum

9.187 Candidates who do not have a relevant Master's degree will select three modules totalling 90 credits from the following Masters programmes with the approval of the programme director:

- MSc in Training
- MSc in Training and Human Resource Management
- MSc in Training and Performance Management

On satisfactory completion of these modules candidates will proceed to the doctoral programme as detailed below.

9.188 All candidates will take four core modules and four option modules chosen from those listed below and a thesis of 50,000 words.

Module	Core/Optional	Credits
LM801 Introduction to Social Research	C	20
LM802 Philosophical and Methodological Foundations of Social Research	C	20
LM803 Quantitative Methods and Analysis	C	20
LM804 Qualitative Methods and Analysis	C	20
LM805 Workplace Learning	O	25
LM807 Knowledge Management and the Learning Organisation	O	25
LM808 Comparing National Education and Training Systems	O	25
LM809 Vocational Education and Training and Lifelong Learning	O	25
LM810 Globalisation and Human Resource Management	O	25
LM811 National Culture and Human Resource Development	O	25
LM813 Youth Transitions, HRD, and the Labour Markets	O	25
LM814 Gender, Work, and Society	O	20
LM815 Theories of Growth, Worker Skills, and the Role of the State	O	20
LM816 New Identities: The Construction of the Self in the Workplace	O	20
LM800 Thesis	C	270

9.189 Each of the core modules will be assessed by an assignment of 4,000 words and each of the option modules will be assessed by an assignment of 5,000 words. Candidates will also be required to submit a 2,000 word thesis proposal. Candidates will be required to submit a thesis of 50,000 words in a field of study approved by the University. The thesis will demonstrate the ability to apply appropriate research methodologies and to analyse practical and/or theoretical issues within Human Resource Development. The thesis must contain original work and be of publishable quality. The thesis will be examined by an internal and external examiner in line with the University's Code of Practice for Research Degrees. An oral examination will be held at the University.

9.190 Candidates will be permitted to re-submit one or more of the assignments and/or the thesis at the discretion of the examiners.

Qualifications Awarded

9.191 Candidates who satisfactorily complete:

- i. the assessment requirements for each of the taught modules and submit a satisfactory thesis will be awarded the degree of Doctor of Social Science (Work, Employment, and Learning)
- ii. the assessment requirements in all elements of the degree except the thesis will be awarded the degree of Master of Social Science (Work, Employment, and Learning)

The Degree of Doctor of Engineering

Period of Registration

9.192 The period of registration is four years full-time.

Entry Requirements

9.193 Candidates will normally have at least an upper second class honours degree from a UK university or its equivalent in engineering or a related area. A lower formal academic qualification may be accepted if a candidate a relevant postgraduate qualification and/or significant professional experience.

Course Aims

9.194 To make a major contribution to UK systems engineering competitiveness through the training of high-calibre research engineers and through high quality innovative, and industrially relevant, research projects.

Curriculum

9.195 All candidates will take a selection of modules available from the partner universities involved in the Doctor of Engineering scheme.

Assessment

9.196 The taught modules are assessed by means of written examination papers and a range of continuously assessed work.

9.197 The thesis should be an original contribution to knowledge, containing material of publishable quality. The thesis discourse (of not more than 25,000 words) must clearly set out the aims, objectives, findings, and industrial relevance/impact of the research work undertaken, and, where a set of sub-projects has been undertaken, will demonstrate coherence and adherence to an agreed theme.

9.198 Candidates will be permitted to resubmit assignments once only for any of the first five modules and/or the thesis (but not the thesis proposal) at the discretion of the examiners.

Qualifications Awarded

9.199 Following the oral examination the examiners may make the following recommendations:

- i. immediate award of the degree of Doctor of Engineering
- ii. award of the degree of Doctor of Engineering subject to minor amendments to be approved by the internal examiner within one month of the viva
- iii. award of the degree of Doctor of Engineering subject to major amendments to be approved by the internal examiner within six months of the viva
- iv. referral for resubmission (with detailed advice about requirements) – thesis to be revised and resubmitted for the degree of Doctor of Engineering with resubmission to take place within six months to twelve months as recommended by the examiners
- v. fail with no right of resubmission