

## Senate Regulation Nine – Regulations Governing Research Degree Programmes

### General

- 9.1 These regulations apply to applicants and registered research students for the degree of Doctor of Philosophy (PhD) or Master of Philosophy (MPhil). These regulations also apply as indicated to:
1. applicants and registered research students for the degree of Doctor of Clinical Psychology (DClinPsy), Doctor of Education (EdD), Doctor of Engineering (EngD), Doctor of Medicine (MD), Doctor of Psychology (PsyD), or Doctor of Social Science (DSocSci)
  2. applicants and registered research students for a research degree programme validated by the University at an associated institution
  3. applicants and registered research students for the degree of PhD under a split-site arrangement

### Admission and Selection

- 9.2 Applications for admission to a research degree programme shall be considered in accordance with these regulations and any additional requirements specified in other Senate Regulations.

### General Entry Requirement

- 9.3 The minimum entry requirement for a research degree programme shall be an upper second class honours degree, or an equivalent overseas qualification, in a relevant subject. In certain disciplines applicants shall be additionally required to have a Masters degree at an appropriate level in a relevant subject or appropriate professional experience.
- 9.4 If the applicant does not have the above qualifications, the Department may make a special case for admission based on one or more of the following criteria:
1. other qualifications held
  2. training and experience
  3. published works
  4. upper second class strengths demonstrated in relevant modules of first degree

The Graduate Dean shall be responsible for approving special cases for admission to a research degree programme.

9.5 Applicants for the degree of MD must be:

1. a graduate in medicine of the University of at least three years standing
- or
2. a graduate in medicine of another university recognised by Senate for this purpose, provided that:
    - a. the qualification was obtained at least three years previously
    - b. the qualification is recognised for registration by the General Medical Council of the United Kingdom
    - c. the applicant is, at the time of the application, either:
      - i. a member of the University's academic staff or is otherwise engaged in appropriate clinical or scientific work within the Leicestershire area or, in special cases, in any hospital associated with the University's School of Medicine
- or
- ii. can, in the opinion of the MD Degree Board of Studies, demonstrate a compelling reason why they should be allowed to register with the University as opposed to the university of their original qualification or place of work, and for whom appropriate supervision can be provided

Exceptionally, Senate may waive the requirement that the applicant shall be a graduate in medicine of a university. If this requirement is waived the applicant shall 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, at the time of application, be a member of the University's academic staff or otherwise engaged in appropriate clinical or scientific work within the Leicestershire area or in any hospital associated with the University's School of Medicine.

#### **English Language Entry Requirement**

9.6 Applicants for a research degree programme must meet the English language requirement specified in Senate Regulation One. The following shall be deemed to satisfy the English language requirement:

1. the applicant is a national of, and has completed secondary or tertiary education where the medium of instruction was English in, one or more of the countries specified in Senate Regulation One, 1.8(a)

or

2. the applicant is not a national of the countries specified in Senate Regulation One, 1.8(a) but has completed in one or more of those countries their secondary education in the national qualification, and/or two years of Bachelors level education, and/or a higher degree, where the medium of instruction was English and provided that no more than three years has elapsed between the date they completed their qualification and the intended start date of their registration at the University

All other applicants for a research degree programme shall be required to provide evidence that they satisfy the English language requirement by offering one or more of the qualifications or tests specified in Senate Regulation One, 1.8(c).

- 9.7 If there is any doubt about the applicant's English language ability, the University may require the applicant to achieve a satisfactory score in a recognised English language test or to pass a test of competence set and marked by the English Language Teaching Unit.
- 9.8 Applicants intending to register for a full-time research degree programme may be required to attend English language classes as a pre-condition of registration and/or to attend such classes alongside the research degree programme.

#### **Accreditation of Prior Learning**

- 9.9 Accreditation of prior learning is the term used for the recognition of academic achievement prior to an applicant's admission to a research degree programme at the University.
- 9.10 If appropriate the Department may recommend that an applicant who has completed a period of research degree registration at another university – but who received no academic qualification for this – should receive equivalent registration credit. Such credit shall normally be for a maximum of one year (full-time) or two years (part-time) against the relevant registration period at the University. The Graduate Dean shall be responsible for approving the accreditation of prior academic achievement.
- 9.11 The applicant shall be responsible for applying for recognition of prior academic achievement and for providing all required evidence at the time of application.

#### **Admission Decisions**

- 9.12 An assessment shall be made of the applicant's suitability for the research degree programme. That assessment shall normally be based on:
  1. the applicant's qualifications and preparedness for research degree level study
  2. the applicant's personal motivation and likely ability to complete the research degree within the relevant maximum registration period
  3. the availability of an appropriate pre-determined research project or the applicant's ability to provide a research proposal which gives an adequate focus to, and demonstrates the applicant's knowledge of, the proposed area of research

4. the availability of appropriate supervisory capacity and material resources
5. any professional requirements associated with the programme

The assessment of the applicant's suitability for a part-time or distance learning research degree programme shall additionally include consideration of the applicant's likely access to appropriate resources and the Department's ability to provide remote supervision.

- 9.13 The applicant shall normally be interviewed before they are permitted to register for a research degree programme and the interview shall normally take place before an offer of admission is made. The Department shall be responsible for interviewing applicants. Interviews shall normally be conducted in person. If that is not possible – for example, where the applicant is not based in the United Kingdom – the interview may be conducted by any appropriate means of communication.
- 9.14 A decision to make an offer of admission to the degree of PhD, DSocSci, EdD, EngD, PsyD, or MPhil must be endorsed by two members of the Department's academic staff – normally the proposed first supervisor and the Postgraduate Tutor or other member of the programme team. Admissions decisions for the degree of MD shall be made through the MD Degree Board of Studies. Admissions decisions for the degree of DClInPsy shall be made through the DClInPsy Course Centre.
- 9.15 A decision to make an offer of admission to a research degree programme shall be made by staff who have received training and guidance in the selection and admission of research degree applicants. The Head of Department shall be responsible for ensuring that staff attend such training as is required.
- 9.16 The applicant may register for the degree of PhD under a split-site arrangement – that is, an arrangement in which the research student shall spend part of the registration period based at another university or research institution. The period based away from the University shall normally be at least twelve months in duration and no more than eighteen months in duration. If such split-site registration is not under a formally agreed collaborative arrangement between the University and the other institution, the prior approval of the Graduate Dean shall be required before an offer of admission is made.
- 9.17 The applicant may register for the degree of PhD or MPhil under a practice based arrangement – that is, an arrangement in which the research student shall submit for examination a thesis that comprises both a written and a practical component.
- 9.18 The formal offer of admission to the degree of PhD, DSocSci, EdD, EngD, PsyD, or MPhil must be made by the Admissions Office. The formal offer of admission to the degree of MD must be made by the School of Medicine Office. The formal offer of admission to the degree of DClInPsy must be made by the DClInPsy Course Centre in conjunction with the Leicestershire Partnership National Health Service Trust.

- 9.19 The offer of admission to a research degree programme may, with the approval of the University, be deferred for a period of up to twelve months. The offer of admission shall be withdrawn if the applicant does not register for the research degree programme within twelve months of the start date specified in the offer letter. The University may make a further offer of admission subject to successful re-application.

## **Registration**

- 9.20 The research student shall be required to complete a registration process when they commence the research degree programme and shall be formally admitted to the University as a registered student only on satisfactory completion of this process.
- 9.21 The research student shall be required as a condition of 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 the research degree programme.

## **Initial Registration**

- 9.22 The research student shall commence registration at an appropriate date with the agreement of the Department.
- 9.23 Once the research student has completed the registration process the initial date of registration cannot be amended.
- 9.24 On completion of the registration process the research student shall receive a card of membership of the University. When on campus the research student must carry their student card with them at all times and must produce it on request for inspection by any member of the University's staff or official of the Students' Union.
- 9.25 The use of the student card is personal to the individual to whom it is issued and the research student must not allow it to be used by another person, whether a registered student of the University or not. The Graduate School Office must be notified if the card is lost or stolen. There shall be a fee for replacement cards.

## **Research Area**

- 9.26 Research students registered for the degree of PhD, MD, PsyD, or MPhil must as soon as possible following initial registration agree with the supervisory team the specific research question(s) to be addressed by the thesis together with a viable research plan for delivering the thesis.
- 9.27 In some cases the specific research question(s) may be pre-determined. In other cases, agreement on the research question(s) should follow consultation between the research student and the supervisory team; this consultation may begin before an offer of admission has been made and may continue beyond the date of initial registration. Where such consultation is needed, the research question(s) shall normally be agreed within six months of initial registration (MD, PsyD, or full-time PhD and MPhil) or twelve months of initial registration (part-time PhD and MPhil).

- 9.28 Research students registered for the degree of PhD, MD, PsyD, or MPhil must have agreed the research question(s) and research plan by the time the research student undertakes the probation review. The supervisory team must inform the Head of Department if there are any concerns that this may not be possible.
- 9.29 Research students registered for other doctoral degree programmes shall develop and agree in accordance with the programme requirements the specific research question(s) to be addressed by the thesis together with a viable research plan for delivering the thesis. In many cases the specific research question(s) and research plan shall be developed through the taught components of the programme.
- 9.30 Research students registered for the degree of PhD or MPhil and who will submit a practice based thesis shall normally have agreed the format of the practical component with the supervisory team within six months (full-time) or twelve months (part-time) of initial registration. The format for the practical component must be agreed by the time the research student undertakes the probation review. The supervisory team must inform the Head of Department if there are any concerns that this may not be possible.

#### **Address and Residence**

- 9.31 The research student must register their address(es) with the University and must immediately notify the Graduate School Office of any change of address.
- 9.32 Research students registered full-time shall normally reside in Leicester or within easy commuting distance of the city.

#### **International Student Visa Requirements**

- 9.33 International research students from outside the European Union and who are registered on a research degree programme requiring attendance on campus shall be required to show evidence of a valid immigration status and to meet the requirements specified in Senate Regulation Four.

#### **Annual Re-Registration**

- 9.34 Research students undertaking a research degree programme of more than one year in duration shall be required to complete an annual re-registration process.
- 9.35 Failure to complete the annual re-registration process by the specified deadline shall result in the research student being withdrawn from the research degree programme.

## Registration Periods

- 9.36 Each research degree programme shall have a specified normal and maximum period of registration dependent on the research student's mode of study. The specified normal and maximum periods shall be calculated by reference to the research student's initial date of registration.

	<b>Mode of Study</b>	<b>Normal Registration Period (Years)</b>	<b>Maximum Registration Period (Years)</b>
<b>MPhil</b>	Full-Time	1.0	2.0
	Part-Time	2.0	4.0
<b>PhD</b>	Full-Time	3.0	4.0
	Part-Time	4.0	7.0
<b>MD</b>	Full-Time	2.0	4.0
	Part-Time	2.0	5.0
<b>PsyD</b>	Part-Time	2.0	5.0
<b>DClinPsy</b>	Full-Time	3.0	3.0
<b>DSocSci</b>	Part-Time	4.0	6.0
<b>EdD</b>	Part-Time	4.0	6.0
<b>EngD</b>	Full-Time	4.0	5.0

- 9.37 Research students shall not normally maintain registration beyond the relevant maximum period. Research students who have experienced extenuating circumstances which are accepted by the University may be given an extension of registration beyond the relevant maximum period.
- 9.38 Requests for an extension of registration require the approval of the Department and must be submitted to the Graduate School Office for consideration by the Graduate Dean or, in the case of research students registered for the degree of MD, to the School of Medicine Office for consideration by the MD Degree Board of Studies. The research student's registration shall not normally be extended for a period of more than six months. The research student must submit the thesis for examination by the end of the extension period. Standard extension fees shall be payable for the approved extension period.

## Writing-Up Periods

- 9.39 Research students registered for the degree of PhD, MD, or MPhil shall be permitted to register for a writing-up period of no more than twelve months provided that the relevant normal period of registration has been completed and the Department confirms that the student has completed the active research part of the degree – including all experimental work, laboratory work, field work, and data collection.
- 9.40 Requests to register for a writing-up period require the approval of the Department and must be submitted to the Graduate School Office or, in the case of research students registered for the degree of MD, to the School of Medicine Office.

- 9.41 The writing-up period shall count towards the relevant maximum registration period. The research student shall not continue the writing-up period beyond the relevant maximum registration period unless an extension of registration has been approved by the Graduate Dean or, in the case of research students registered for the degree of MD, by the MD Degree Board of Studies.
- 9.42 Half of the standard writing-up fee shall be payable for writing-up periods up to six months in length; the full writing-up fee shall be payable for writing-up periods up to twelve months in length. Research students who have completed a twelve month writing-up period and have been given an extension of registration beyond this by the Graduate Dean or by the MD Degree Board of Studies shall pay the standard extension fees for the extension period.
- 9.43 Research students in a writing-up period shall continue to be offered formal supervision and this shall include the first supervisor reading and commenting on the final draft of the thesis provided that the thesis is presented by a mutually acceptable date in sufficient time before the required submission date.
- 9.44 Over the writing-up period the research student shall continue to have access to the University Library and their University IT account. Research students in a writing-up period may continue to have access to appropriate departmental facilities subject to the approval of the Head of Department.

#### **Changes of Registration**

- 9.45 Following initial registration the research student may change or vary the research degree programme – including changes to the mode of study – only with the approval of the University.
- 9.46 Requests to change or vary the research degree programme must be submitted to the Graduate School Office. Distance learning registration is available in specific disciplines only. Where a change in the mode of study is approved, the completed period of registration shall be re-calculated pro rata and this may change the date at which the research student will complete the relevant maximum registration period.

#### **Dual Registration**

- 9.47 Research students registered on a full-time research degree programme at the University must not be registered on another full-time programme either at the University or another institution.
- 9.48 Research students registered on a part-time research degree programme at the University may, with the prior approval of the Graduate Dean, register for another part-time programme either at the University or another institution provided that there is no substantial overlap in content between programmes and the research student does not submit for one programme work that has been completed for the other.

- 9.49 Sponsored research students must comply with any conditions relating to dual registration that are associated with the terms of their sponsorship. International research students must comply with any conditions relating to dual registration that are associated with the terms of their immigration status.
- 9.50 Academic pressure resulting from dual registration shall not be accepted as an extenuating circumstance for poor academic performance, neglect of academic obligations, or academic dishonesty.

### **Suspension of Programme**

- 9.51 Research students who have experienced extenuating circumstances which are accepted by the University may suspend their programme. A suspension is an approved period of absence from the research degree programme. Research students registered for the degree of DClinPsy must follow programme and National Health Service requirements for programme breaks.
- 9.52 Suspension of programme indicates that the research student is not actively engaged with the research degree programme but remains registered with the University. Over the suspension period the research student shall not be offered formal supervision nor have access to departmental facilities. Over the suspension period the research student shall continue to have access to the University Library and their University IT account. Requests for suspension of programme require the approval of the Department and must be submitted to the Graduate School Office or, in the case of research students registered for the degree of MD, to the School of Medicine Office.
- 9.53 Periods of suspension shall normally be at least three months in duration. Research students shall not normally suspend their programme for a period exceeding twelve months over the duration of the research degree programme. Research students returning from a period of suspension shall normally resume their programme as of the first day of the relevant month. The suspension period shall not count towards the relevant normal and maximum registration periods.

### **Withdrawal**

- 9.54 Research students wishing to withdraw permanently from the research degree programme must notify the Graduate School Office in writing. Research students considering withdrawal from the programme are strongly encouraged to first consult with the supervisory team and/or the Department.
- 9.55 Where owing to non-engagement the University considers that a research student has withdrawn from the research degree programme, the student shall be contacted in writing and asked to respond by a specified date. If the research student fails to respond satisfactorily by the specified date it shall be assumed that they have withdrawn from the research degree programme.

## **Induction and Training**

9.56 The research student shall be expected to make use of relevant induction and training events and materials provided by the University.

### **Induction**

9.57 The Department shall ensure that the research student receives appropriate induction information at the start of the research degree programme. This must include guidance on:

1. the roles and responsibilities of the research student and the supervisory team
2. the nature of research and the standard of work expected of research students
3. the relevant maximum registration period and the planning of the research programme
4. the relevant probation and progress monitoring requirements
5. the identification and use of appropriate literature and information resources

9.58 The research student shall be responsible for making themselves familiar at the start of the research degree programme with relevant University policies and procedures. In particular, the research student must ensure that they are familiar with relevant Senate Regulations and the Code of Conduct for Research.

### **Skills and Career Development Training**

9.59 The research student shall have the opportunity through the research degree programme and other University events and materials to develop relevant research and other skills.

9.60 The Department shall ensure that the research student receives training and/or guidance to support their development of relevant research skills. Research students registered for the degree of PhD, MD, PsyD, or MPhil shall normally work with the supervisory team to identify the research skills needed for the research degree programme and to develop an appropriate training plan. Research students registered for other doctoral degree programmes shall normally develop relevant research skills through the taught components of the programme.

9.61 All research students should, in addition to developing relevant research skills, make use of opportunities to develop their broader personal and professional skills. These may include written and oral communication skills, presentation skills, project management skills, interpersonal and leadership skills, and career planning skills.

9.62 The supervisory team and/or the Department may require the research student to complete compulsory training activities. Research students registered full-time may be required to attend English language classes alongside the research degree programme.

- 9.63 Research students shall be required to allocate to skills and career development training an appropriate portion of each year of registration. Research students registered for the degree of PhD or MPhil shall normally take at least two weeks (full-time) or one week (part-time) each year for appropriate skills and career development activities such as attendance at formal training events, participation in research seminars and conferences, use of online materials, and self-directed learning activities. Research students registered for other doctoral degree programmes should complete an equivalent amount of training as appropriate within the programme requirements. Training requirements may vary for research students based in a Doctoral Training Centre or similar arrangement.
- 9.64 Research students registered for the degree of PhD, MD, PsyD, or MPhil must keep a record of all skills and career development training completed. This record shall be reviewed at the research student's probation review. Research students registered for other doctoral degree programmes should keep a record of all skills and career development activities completed beyond the taught components of the programme.

## **Supervision of Research Students**

- 9.65 A supervisory team must be appointed for every research student. The Head of Department or their nominee shall be responsible for approving the appointment of each supervisory team's members. The Graduate Dean shall be responsible for approving the appointment of the supervisory team for research students registered at an associated institution.

### **Supervisory Team Members**

- 9.66 Each supervisory team must comprise at least two members and include:
1. a clearly identified first supervisor – the first supervisor must have expertise in the student's area of research and carries primary responsibility for the student's supervision
  2. a second or co-supervisor – the second supervisor must have expertise relevant to the student's area of research and either assists the first supervisor in the provision of guidance and support to the student or has a co-supervisor role
- 9.67 The first supervisor must be one of the following:
1. a member of the University's academic staff
  2. a research fellow of the University
  3. a clinical member of staff of the National Health Service, or an academic member of staff of the Medical Research Council Toxicology Unit, holding an honorary position with the University

Where the first supervisor is a clinical member of staff of the National Health Service, the second supervisor must be a member of the University's academic staff. Other honorary and emeritus staff of the University shall not be appointed as first supervisors.

9.68 The second supervisor must be one of the following:

1. a member of the University's academic staff
2. a research fellow of the University
3. a clinical member of staff of the National Health Service, or an academic member of staff of the Medical Research Council Toxicology Unit, holding an honorary position with the University

Where the second supervisor is a clinical member of staff of the National Health Service, the first supervisor must be a member of the University's academic staff. Other honorary and emeritus staff of the University shall not be appointed as second supervisors.

9.69 The first and second supervisors of a research student registered at an associated institution must be members of the academic staff of that institution.

9.70 A third supervisor may be appointed if needed. The third supervisor is not required to be a member of the University's academic staff and the use of non-University staff as third supervisors may be appropriate where the research student will undertake a placement in industry or is registered under a split-site arrangement. Honorary and emeritus staff of the University may be appointed as third supervisors.

9.71 The Graduate Dean shall be responsible for approving the appointment of a third supervisor who is not a member of the University's academic staff. Such supervisors shall be designated as external supervisors. If an external supervisor is appointed, it must be made clear to all parties that full control over supervision rests with the University.

#### **Appointment of the Supervisory Team**

9.72 The Department must specify a named first supervisor at the point it makes a formal offer of admission to a PhD, MD, PsyD, or MPhil programme. The names of other members of the supervisory team shall be specified if known. Research students registered for other doctoral degree programmes must be informed of the members of the supervisory team at the appropriate point in their registration.

9.73 The Department must notify the research student and the Graduate School Office in writing should it be necessary to change the appointed supervisory team after a formal offer of admission has been made. The Head of Department or their nominee shall be responsible for making alternative supervision arrangements.

9.74 The supervisory team must have appropriate experience of the supervision of research students. The first and second supervisors shall normally between them have experience of successfully supervising at least three research students to completion. The approval of the Head of Department shall be required where it is proposed to appoint a supervisory team with less experience.

9.75 Members of the University’s academic staff on probation may be appointed as either first or second supervisor. If a member of academic staff on probation is appointed as first supervisor, the other members of the supervisory team must between them have experience of successfully supervising at least three research students to completion.

### **Supervision Loads**

9.76 Members of the University’s academic staff shall normally at any one time supervise no more than the equivalent of nine full-time research students with a maximum headcount of twelve.

9.77 In calculating supervision loads, the Department shall normally take account of both first and second supervisory appointments that are held. The Department shall normally use the following weightings:

	<b>Headcount</b>	<b>Full-Time Equivalent</b>
<b>First Supervisor Appointments</b>	1 x Full-Time Student	1.0 FTE
	1 x Part-Time Student	0.5 FTE
<b>Second Supervisor Appointments</b>	1 x Full-Time Student	0.5 FTE
	1 x Part-Time Student	0.25 FTE

9.78 The Department may specify a lower maximum supervision load if appropriate – for example, for part-time staff. The approval of the Head of Department is required if it is proposed that a member of staff should supervise more than the specified maximum number of research students.

### **Training and Monitoring of Supervisors**

9.79 The University’s training programme for research student supervisors must have been completed by either the first or second supervisor within each supervisory team. The Head of Department shall be responsible for ensuring that staff involved in the supervision of research students, including external supervisors, complete this training programme.

### **Responsibilities of Supervisors**

9.80 The supervisory team must ensure that the research student is in no doubt as to what shall be required of them. In particular, it must be emphasised that the thesis must be the research student’s own work and that, within the supervisory framework, the student shall be responsible for planning and managing their work and for developing their own ideas.

9.81 The supervisory team and the research student must establish at an early stage a clear understanding as to the responsibilities of the supervisory team, the relation of these to the responsibilities of the student, and the supervisory team’s role in relation to the preparation and development of the student’s written and other work. That understanding must cover the nature of guidance or comment that the supervisory team shall offer within the general principle that the thesis must be the research student’s own work.

9.82 The supervisory team must ensure that appropriate arrangements are in place so that formal supervisory meetings with research students on a part-time or distance learning research degree programme are held as specified below in 9.87 and 9.88.

9.83 The supervisory team must ensure that research students undertaking research as part of a team or research group understand how their own research relates to the research of the group as a whole.

9.84 The responsibilities of the supervisory team shall include:

1. ensuring that the research student is familiar with relevant Senate Regulations and the Code of Conduct for Research
2. providing the research student with guidance on:
  - a. the nature of research and standard expected
  - b. the requirements of the degree for which they are registered
  - c. the planning of the research programme
  - d. literature and sources
  - e. obligations with respect to taught components and/or skills and career development training
  - f. required research techniques and methodologies
  - g. the need to develop oral and written communication skills
  - h. academic honesty and drawing attention to relevant regulations, including those relating to plagiarism
3. monitoring the progress of the student's research through regular formal supervisory meetings and ensuring that the research student keeps an agreed record of these meetings
4. being accessible at mutually convenient times when the research student may need advice
5. giving detailed advice on the necessary completion dates of successive stages of the work so that the thesis can be submitted within the relevant maximum registration period
6. emphasising the importance of timely submission of the thesis in terms of good academic practice and in relation to the requirements of the University
7. requesting draft or preliminary written and other work as appropriate and returning such work with constructive criticism and within a reasonable time

8. arranging, as appropriate, for the research student to present their work to staff and students, bearing in mind the demands of the viva voce examination
9. ensuring that the research student is made aware of any concerns about their progress or the standard of their work and ensuring that the Head of Department and the Postgraduate Tutor are notified in writing if there are any concerns about the research student's progress or ability to achieve the degree for which they are registered
10. reading and commenting on the whole of the final draft of the thesis, provided that this is presented within a reasonable and agreed timeframe, and ensuring that the research student is aware that the thesis must comply with all relevant regulations, including those on word length, format, and binding
11. notifying the research student, the Head of Department, and the Postgraduate Tutor if they have concerns about the quality of the thesis to be submitted for examination
12. liaising with the Postgraduate Tutor and the Graduate School Office to ensure that regulations are appropriately applied

### **Conflicts of Interest**

- 9.85 A close personal relationship between a research student and a member of their supervisory team can give rise to real or perceived conflicts of interest. The University considers such relationships to be inappropriate. Members of the supervisory team must not be appointed to supervise, or be allowed to continue to supervise, research students with whom they have or have had a close personal relationship.
- 9.86 Members of the supervisory team must declare to the Head of Department any close personal relationship they have or have had with the research student. The Head of Department or their nominee shall be responsible for making alternative supervision arrangements.

### **Formal Supervisory Meetings**

- 9.87 Formal supervisory meetings for research students registered for the degree of PhD, MD, PsyD, or MPhil in the probation period shall normally be held at least monthly (MD, PsyD, or full-time PhD and MPhil) or every two months (part-time PhD and MPhil). Following successful completion of the probation period, formal supervisory meetings shall normally be held at least every two months (full-time) or every four months (part-time).
- 9.88 Formal supervisory meetings for research students registered for other doctoral degree programmes shall normally be held at least monthly (full-time) or every two months (part-time). However, formal supervisory meetings may not commence until the research student has completed all taught components of the programme.
- 9.89 The research student shall be responsible for agreeing with the supervisory team a mutually acceptable annual schedule of formal supervisory meetings.

- 9.90 Formal supervisory meetings may not involve all members of the supervisory team. All formal supervisory meetings shall normally involve the first supervisor and there must be at least one formal supervisory meeting each year at which all members of the supervisory team are present.
- 9.91 Formal supervisory meetings with campus based research students shall normally be conducted in person. Formal supervisory meetings with distance learning research students may be conducted by any appropriate means of communication, but meetings in person should be used where possible.
- 9.92 The research student shall be responsible for preparing a brief written record – around 100 words – of each formal supervisory meeting. The first supervisor must check this record for accuracy and confirm whether it is accurate. A copy of the agreed record of every formal supervisory meetings must be kept by both:
1. the research student
  2. the Department and/or the supervisory team

### **Postgraduate Tutors**

- 9.93 Each Department must have a designated Postgraduate Tutor. The Head of Department shall be responsible for appointing the Postgraduate Tutor. The Postgraduate Tutor shall provide pastoral and other general guidance as appropriate to both the research student and the supervisory team. The Postgraduate Tutor may supervise research students in their own right. Where the regular Postgraduate Tutor is supervising a research student in their own right, the Head of Department must appoint an alternative Postgraduate Tutor for that student.
- 9.94 The responsibilities of the Postgraduate Tutor shall include:
1. providing research students in the Department with advice on the role of the Postgraduate Tutor and their availability for consultation
  2. ensuring that research students in the Department are aware of and adhere to relevant Senate Regulations and the Code of Conduct for Research
  3. contributing to the oversight and operation of research student admissions decisions
  4. assisting in identifying possible supervisors, probation and progress review panel members, and examiners
  5. contributing to the oversight and operation of research student progress monitoring mechanisms and ensuring that probation and progress reviews take place at the appropriate point in each research student's registration with an appropriately composed review panel
  6. monitoring the frequency of formal supervisory meetings

7. monitoring research student participation with respect to taught components and/or skills and career development training
8. ensuring that appropriate personal support is available to research students and providing guidance on other sources of support and advice to research students and supervisory teams
9. providing initial mediation in a dispute between the research student and the supervisory team
10. working with supervisory teams to ensure timely submission of theses
11. acting where appropriate on behalf of the research student, including seeking guidance on regulatory issues from the Graduate School Office

### **Progress Review Monitoring**

- 9.95 Research students registered for the degree of PhD, MD, PsyD, or MPhil must successfully complete a regular formal review of their progress.
- 9.96 The progress of research students registered for other doctoral degree programmes shall be reviewed through their completion of the taught components and other programme requirements.

### **Probation Period and Probation Review**

- 9.97 Research students registered for the degree of PhD or MPhil shall be registered on probation for the first year of the degree (full-time) or first two years of the degree (part-time). Research students registered for the degree of MD or PsyD shall be registered on probation for the first year of the degree. The research student's first formal progress review shall be used to decide whether the student has successfully completed probation.
- 9.98 The probation review must take place before the end of the research student's first year of registration (MD, PsyD, or full-time PhD and MPhil) or before the end of the second year of registration (part-time PhD and MPhil).
- 9.99 For the probation review the research student must prepare:
1. a written report on their progress to date – this shall normally be of 5,000 to 10,000 words and may be accompanied by relevant supporting research outputs
  2. a work plan for completing the thesis over the remaining part of the relevant maximum registration period
  3. a record of skills and career development training completed to date – where the Department has compulsory training requirements, this record must include evidence that these have been met
  4. written records of all formal supervisory meetings held to date

9.100 The above are minimum requirements and the Department may require research students to produce additional materials as appropriate – for example, practical work, lab books, etc.

9.101 For the probation review the supervisory team must prepare written feedback – around 300 words – on the research student’s progress. This feedback must include:

1. a discussion of the research student’s progress to date
2. a discussion of the feasibility of the research student’s proposed work plan
3. recommendations for further training that is required

9.102 The probation review must be conducted by a probation review panel. A probation review panel must be appointed for every research student registered for the degree of PhD, MD, PsyD, or MPhil. The Head of Department or their nominee shall be responsible for the appointment of the probation review panel. The appointment of a probation review panel for research students registered at an associated institution shall be the responsibility of that institution.

9.103 Each probation review panel must comprise at least two members at least one of whom must be a member of the University’s academic staff. All members of each probation review panel must be one of the following:

1. a member of the University’s academic staff
2. a research fellow of the University
3. a clinical member of staff of the National Health Service, or an academic member of staff of the Medical Research Council Toxicology Unit, holding an honorary position with the University

Other honorary and emeritus staff of the University shall not be appointed as members of a probation review panel. The Head of Department or their nominee may, if appropriate, appoint an external adviser to assist the probation review panel.

9.104 Members of the probation review panel for a research student registered at an associated institution must be members of the academic staff of that institution.

9.105 Members of the research student’s supervisory team must not be members of the same student’s probation review panel.

9.106 Members of the probation review panel must have expertise relevant to the student’s area of research. Each probation review panel must have appropriate experience of the supervision of research students. The members of each probation review panel shall normally between them have experience of successfully supervising at least three research students to completion. The approval of the Head of Department shall be required if it is proposed to appoint a probation review panel with less experience.

- 9.107 The probation review shall provide the research student with the opportunity to discuss their research, their findings so far, and their plans for completing the thesis. The research student must give a presentation and defence of their work. This shall normally take the form of an oral examination and/or a presentation followed by questions.
- 9.108 In advance of the probation review, the Department must provide the probation review panel with copies of the research student's progress report and the written feedback of the supervisory team.
- 9.109 The probation review must be conducted in person and shall normally take the form of a meeting between the research student and the probation review panel. The research student may be required to give a separate presentation to the probation review panel, members of the Department, and others. The probation review panel may ask the research student questions on any relevant matters as needed to form an opinion on the student's progress to date and their ability to complete the degree within the relevant maximum registration period.
- 9.110 Members of the research student's supervisory team may attend that student's probation review meeting, including any separate presentation session, as observers. If members of the supervisory team are in attendance, the research student must be given the opportunity to discuss privately with the probation review panel any other relevant matters that they may wish to raise.
- 9.111 At the end of the probation review, the probation review panel must make a recommendation to the Head of Department as to whether the research student should be permitted to continue with the degree. The panel shall recommend one of the following:
1. that the research student has successfully completed probation for the degree for which they registered and should be permitted to continue as a registered student
  2. that the research student has not successfully completed probation for the degree for which they registered and should be required to remain on probation for that degree for a period of no more than six months and complete a further and final probation review before the end of that period
  3. that the research student has not successfully completed probation for the degree for which they registered but should be permitted to register for a lower degree (research students registered for the degree of PhD)
  4. that the research student has not successfully completed probation and should have their registration terminated
- 9.112 At the end of the probation review the probation review panel must prepare a brief written report indicating their recommendation and the reasons for making this. Copies of this report must be provided to the research student and the supervisory team. A copy of the probation review panel's report must be provided to the Graduate School Office.

9.113 If the probation review panel has recommended that the research student should remain on probation for a period of no more than six months, a further probation review must be held before the end of that period. At the end of that subsequent probation review, the probation review panel shall recommend to the Head of Department one of the following:

1. that the research student has successfully completed probation for the degree for which they registered and should be permitted to continue as a registered student
2. that the research student has not successfully completed probation for the degree for which they registered but should be permitted to register for a lower degree (research students registered for the degree of PhD)
3. that the research student has not successfully completed probation and should have their registration terminated

At the end of the subsequent probation review the probation review panel must prepare a brief written report indicating their recommendation and the reasons for making this. Copies of this report must be provided to the research student and the supervisory team. A copy of the probation review panel's report must be provided to the Graduate School Office.

### **Subsequent Progress Reviews**

9.114 Following the probation review, the progress of research students registered for the degree of PhD, MD, PsyD, or MPhil and whose degree is of more than one year in duration shall be monitored by a progress review panel.

9.115 The progress review panel must comprise at least two members. Members of the research student's supervisory team may be members of the same student's progress review panel, but the progress review panel must include at least one member who is not also a member of the supervisory team – normally this shall be a member of the original probation review panel. The Head of Department or their nominee shall be responsible for the appointment of the progress review panel. The appointment of a progress review panel for research students registered at an associated institution shall be the responsibility of that institution.

9.116 Before the end of each year of registration – excluding the final year of registration – the research student must submit a written report on their progress to the progress review panel. This report shall normally be of at least 2,000 words and may be accompanied by relevant supporting research outputs.

9.117 The progress review panel must arrange regular progress review meetings with the research student. Progress review meetings must take place at least annually (MD, PsyD, or full-time PhD and MPhil) or every second year (part-time PhD and MPhil). Progress review meetings with campus based research students shall normally be conducted in person. Progress review meetings with distance learning research students may be conducted by any appropriate means of communication, but meetings in person should be used where possible.

- 9.118 Progress review meetings shall provide the research student with the opportunity to discuss their research, their findings so far, and their plans for completing the thesis. There is no requirement for the research student to give a presentation or defence of their work at progress review meetings following the probation review; however, the Department may require this as appropriate. Research students must be given appropriate notice if they shall be required to present or defend their work.
- 9.119 At the end of each progress review meeting the progress review panel must prepare a brief written report on the research student's progress since the last progress review meeting. The report must make clear any concerns that the progress review panel has about the research student's progress or ability to achieve the degree for which they are registered within the relevant maximum registration period.
- 9.120 A copy of the progress review panel's report must be provided to the research student and the Graduate School Office. If the progress review panel has serious doubts about the research student's progress or ability to achieve the degree for which they are registered, a copy of the report must be provided to the Head of Department who may initiate proceedings for neglect of academic obligations as specified below in 9.134 to 9.137.

#### **Student Annual Reports to the Graduate Dean**

- 9.121 Alongside the University's formal progress review framework, research students registered for the degree of PhD, MD, PsyD, or MPhil and whose degree is of more than one year in duration must submit an annual progress report to the Graduate Dean.
- 9.122 Research students are encouraged to share with the supervisory team the contents of the annual report to the Graduate Dean, but it is recognised that some may choose not to do so. The research student must though raise with the supervisory team any issues having an adverse effect on their progress at the time they occur and prior to submission of the thesis for examination.

#### **Research Student Obligations and Research Conduct**

- 9.123 Research students must familiarise themselves with the general definitions of misconduct specified in Senate Regulation Eleven. These include both academic and non-academic forms of misconduct.
- 9.124 All students of the University shall be subject to the jurisdiction of Senate in respect both of their studies and of their conduct. Senate has the power to suspend, exclude, or expel any student deemed to have been guilty of misconduct or to impose such other penalties as may be appropriate.
- 9.125 In addition to the Senate Regulations, research students shall be required to abide by the Code of Conduct for Research.

## **Responsibilities of Research Students**

9.126 The research student shall have primary responsibility for the direction and progress of their research and for the delivery of a thesis of an appropriate standard within the relevant maximum registration period.

9.127 The research student shall be expected to adopt a professional approach to the research degree programme, including:

1. good timekeeping
2. observing deadlines
3. reading and responding to communications from the supervisory team and other members of the University
4. taking responsibility for their own skills and career development

9.128 The responsibilities of the research student shall include:

1. completing initial registration and any subsequent re-registration as required and, in the case of international research students, complying with all relevant immigration requirements
2. making themselves familiar with relevant policies and procedures – in particular, with the Senate Regulations and the Code of Conduct for Research
3. developing an appropriate research plan that will enable submission of the thesis for examination within the relevant maximum registration period
4. managing and sustaining progress in accordance with the agreed research plan, including the submission to the supervisory team of interim work as required
5. recognising when they need help and taking the initiative in raising any concerns and problems as early as possible with the supervisory team or the Postgraduate Tutor
6. complying with all relevant requirements with respect to intellectual property
7. making time at the start of the research degree programme to discuss with the supervisory team the nature of research, the standard of work expected of research students, and the respective roles and responsibilities of the research student and the supervisory team
8. confirming with the supervisory team how supervision will work in practice and clarifying their own preferences with respect to the type of supervisory guidance needed and the ways in which this might be provided
9. maintaining regular contact with the supervisory team and taking the initiative in agreeing with the supervisory team a mutually acceptable schedule for formal supervisory meetings

10. attending formal supervisory meetings as scheduled and making appropriate arrangements if it is not possible to attend a scheduled supervisory meeting
11. reflecting on and responding to feedback and guidance provided by the supervisory team at formal supervisory meetings
12. preparing and keeping an agreed written record of each formal supervisory meeting
13. complying with the University's requirements for formal progress reviews
14. undertaking appropriate skills and career development training
15. maintaining a record of completed skills and career development activities and reviewing and revising their training plan as appropriate
16. providing the supervisory team with a complete final draft of the thesis by a mutually acceptable date in sufficient time before the required submission date for the supervisors to read and comment on
17. reflecting on and responding to feedback and guidance provided by the supervisory team with regards to the final draft of the thesis
18. ensuring that the thesis complies with all relevant regulations, including those on word length, format, and binding
19. making appropriate preparations for the viva voce examination and attending the examination as required by the examining team
20. complying with all thesis final submission requirements – submission of one hard bound copy of the thesis to the Graduate School Office and one electronic copy of the thesis to the University Library

### **Ethical Approval of Research**

9.129 Research students undertaking work that involves human participants must receive ethical approval prior to its commencement. The research student must familiarise themselves with the requirements for the approval of work on ethical grounds, including the need to complete an online ethics application form for review by the relevant University Research Ethics Committee or, where required, a National Health Service Research Ethics Committee. Research involving human participants must not commence without the prior approval of the relevant committee.

9.130 The research student must consult the supervisory team if they are thinking of making any changes to the proposed research after having received ethics approval. If the research student fails to seek appropriate ethical approval prior to commencing their work, or fails to consult with the supervisory team regarding major changes to their work once it has commenced, the Head of Department may initiate proceedings for academic dishonesty as specified below in 9.131 to 9.133.

## Academic Honesty

9.131 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 that is knowingly taken by the research student which involves misrepresentation of the truth shall be considered as academic dishonesty and as such is an offence which the University believes should merit the application of very severe penalties.

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

1. cheating in examinations
2. copying work from or using work written by another student
3. copying from published authorities, including online sources, without acknowledgement
4. making work available to another person for copying
5. soliciting or commissioning work
6. pretending ownership of another's ideas
7. falsifying results
8. undertaking research without appropriate ethical approval

9.133 If the research student is deemed to have been guilty of academic dishonesty, the Head of Department is authorised to apply the following penalties:

1. For academic dishonesty in assessed work excluding the thesis, penalties shall be applied in accordance with Senate Regulation Eleven (research students registered for the degree of DClInPsy, DSocSci, EdD, or EngD)
2. For academic dishonesty in a formal progress review report and/or presentation, the research student shall be given a severe written warning and permitted to repeat the progress review – except in such cases where the level of dishonesty is such that the Head of Department considers it necessary to refer the case to a Senate Disciplinary Panel (research students registered for the degree of PhD, MD, PsyD, or MPhil)
3. For academic dishonesty in the development of the thesis or in other non-assessed work, the research student shall be given a severe written warning – except in such cases where the level of dishonesty is such that the Head of Department considers it necessary to refer the case to a Senate Disciplinary Panel

4. If academic dishonesty is found in a thesis submitted for examination, this must be reported immediately to the Graduate School Office; the examination shall be suspended and the Head of Department shall initiate an investigation – where academic dishonesty is confirmed, a viva voce examination shall not be held and the examiners shall normally recommend failure without right of resubmission; if appropriate, further action may be taken as specified in Senate Regulation Eleven

### **Academic Obligations**

9.134 The nature of a research student's academic obligations varies from programme to programme and from department to department. If the supervisory team or progress review panel has concerns about whether the research student is meeting their academic obligations or has serious doubts about the student's progress or ability to achieve the degree for which they are registered, the Head of Department and the Postgraduate Tutor must immediately be notified in writing.

9.135 The Head of Department, in consultation with the Postgraduate Tutor and the supervisory team, shall decide on the most appropriate course of action.

9.136 The Head of Department must ensure that the research student fully understands their responsibilities and the reasons why their progress is considered to be unsatisfactory. Initial measures taken by the Department shall normally be supportive – for example, a suspension of programme if there are personal or medical difficulties, reformulation of the research area, or transfer to a lower degree.

9.137 If after such action the research student's progress remains unsatisfactory, or the research student is unable to demonstrate the ability to perform at the required level, the Head of Department shall either:

1. issue a formal warning to the student as specified in Senate Regulation Eleven

or

2. refer the matter to a Panel of the Senate Student Discipline Committee with a recommendation that the student should have their registration terminated

### **Intellectual Property**

9.138 Intellectual property shall be attributed in accordance with the requirements specified in the Intellectual Property Policy and the Code of Conduct for Research.

9.139 The research student shall be responsible for complying with such requirements for the protection of intellectual property as are specified by the University as well as any other applicable requirements for the protection of third party intellectual property.

9.140 There are a number of ways in which confidentiality can be compromised by disclosure of a discovery or invention. Research students must be aware that disclosure can occur as a result of an academic presentation – such as a spoken presentation, conference abstract, poster, etc. – or any other conversation – such as a written, spoken, or electronic communication, etc. Breaches of confidentiality may result in an inability to protect the intellectual property in the future. They may also result in actions for recovery of losses against the University and the individual concerned.

9.141 The research student must consult the supervisory team if they have any concerns regarding the possible disclosure of intellectual property. The research student and/or the supervisory team may consult the Intellectual Property Policy or seek further advice from the Enterprise and Business Development Office.

### **Copyright**

9.142 The research student shall hold the copyright for their thesis.

9.143 The research student shall be responsible for ensuring that they comply with any requirements for their use of material to which a third party holds the copyright. This shall include the use of such material in the thesis and in papers, posters, presentations, etc.

### **Proof Reading Services**

9.144 Research students who use an external proof reading service must comply with the requirements specified in the Policy Relating to Proof Reading Services.

### **Illness**

9.145 Research students who suffer a minor illness for a period of less than seven days must report it to the Department where this may have affected their ability to meet their academic obligations.

9.146 Research students who suffer an illness of more than seven days' duration or that is of a non-minor nature must seek medical advice and obtain a medical certificate. A copy of the medical certificate must be provided to the Department and to the Graduate School Office.

9.147 The research student shall be responsible for providing such documentation as shall be required by the University as evidence of their illness or of their fitness to resume the research degree programme.

### **Leave and Holidays**

9.148 Research students may in each calendar year take periods of annual leave, normally up to a maximum of twenty-four (full-time) or twelve (part-time) leave days. Requests to take annual leave must be made through the supervisory team and recorded by the Department. Requests to take leave for a period of more than one month shall not normally be approved.

9.149 In addition to the annual leave entitlement, there are a number of United Kingdom public holidays and a further number of days in each year which are allocated by the University as closure days around the Christmas and Easter periods.

9.150 Sponsored research students must comply with any conditions for taking leave that are associated with the terms of their sponsorship. International research students must comply with all attendance monitoring requirements regardless of any agreed leave period.

### **Paid Employment**

9.151 Research students registered full-time may with the approval of the Head of Department undertake paid employment – excluding internships or other placements arranged as part of the research degree programme – normally up to a maximum of eight hours each week.

9.152 Sponsored research students must comply with any conditions for undertaking paid employment that are associated with the terms of their sponsorship. International research students must comply with any conditions for undertaking paid employment that are associated with the terms of their immigration status.

9.153 The undertaking of paid employment alongside a research degree programme shall not be accepted as an extenuating circumstance for poor academic performance, neglect of academic obligations, or academic dishonesty.

### **Internships and Placements**

9.154 The research student may, with the approval of the supervisory team, undertake an internship or other placement over their period of registration. In some cases the completion of an internship/placement may be a condition of the research student's sponsorship.

9.155 The duration and timing of the internship/placement shall be agreed between the research student, the supervisory team, and the internship/placement host. The supervisory team shall have the final say on the duration and timing of the internship/placement.

9.156 If the internship/placement is not undertaken as a condition of the research student's sponsorship, it shall not normally exceed three months either as a block of time or spread over the duration of research degree programme. The prior approval of the Graduate Dean shall be required for internships/placements not undertaken as a condition of the research student's sponsorship and which would exceed three months.

9.157 The internship/placement period shall normally count towards the relevant normal and maximum registration periods.

9.158 International research students must comply with all attendance monitoring requirements regardless of any agreed internship/placement period.

## **Appeals and Complaints**

9.159 The research student may appeal against an academic decision concerning progress, the award of a degree lower than that for which they were registered, or the termination of their registration. Research students who wish to appeal against an academic decision of these types must submit a formal academic appeal as specified in Senate Regulation Ten.

9.160 Research students who are dissatisfied with any element of the research degree programme or supervision must raise any concerns at the time they occur and prior to submission of the thesis for examination. The research student must raise any such concerns with the supervisory team in the first instance. Research students who are dissatisfied with the response of the supervisory team should take their concerns to the Postgraduate Tutor or the Head of Department. Research students who are unable to resolve difficulties through these routes may submit a formal complaint as specified in Senate Regulation Twelve.

## **Thesis Submission**

9.161 To be awarded the degree of Doctor of Philosophy, the research student must satisfy the examiners by means of a thesis which makes a distinct and original contribution to knowledge in the discipline and contains work which is considered to be worthy of publication. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied. For research students registered for the degree of PhD and who will submit a practice based thesis, both components of the thesis must form a coherent whole which meets the requirements for the award of the degree.

9.162 To be awarded the degree of Doctor of Medicine, the research student must satisfy the examiners either:

1. 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 research student, that constitutes a significant contribution to knowledge, and contains work which is deemed worthy of publication

or

2. by submission, with the approval of the MD Degree Board of Studies, 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 research student, and that constitutes a significant contribution to knowledge

- 9.163 To be awarded the degree of Doctor of Psychology, the research student must satisfy the examiners by means of a thesis which has been specifically composed for the purpose, includes a critical literature review (the topic normally being relevant to the research question addressed in the main study), 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, a reflective critique of the work, and a service evaluation or audit report based on the student's area of practice or service setting, and constituting a significant contribution to knowledge.
- 9.164 To be awarded the degree of Doctor of Clinical Psychology, Doctor of Education, Doctor of Engineering, or Doctor of Social Science the research student must successfully complete all taught elements to the appropriate standard described in the relevant programme specification and satisfy the examiners by means of a thesis which makes a distinct and original contribution to knowledge in the discipline and contains work which is considered to be worthy of publication. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied.
- 9.165 To be awarded the degree of Master of Philosophy, the research student must satisfy the examiners by means of a thesis which demonstrates a satisfactory record of research, a broad knowledge and understanding of the field of study and associated research techniques, and shows that these have been successfully applied. The thesis must present evidence of a critical survey of knowledge in the discipline but does not need to make a distinct and original contribution to knowledge in the discipline or to contain work which is considered to be worthy of publication. For research students registered for the degree of MPhil and who will submit a practice based thesis, both components of the thesis must form a coherent whole which meets the requirements for the award of the degree.
- 9.166 In all cases the thesis must be:
1. the result of the research student's own work; where parts of the thesis are the result of work undertaken by or with others, this must be explicitly acknowledged in the thesis text and/or references
  2. the result of work undertaken by the research student over their period of registration – except where the thesis comprises inter-related published works or clinical case studies

### **Thesis Format**

- 9.167 With the exception of short quotations for which an English translation is provided, the thesis must be written in English unless the Graduate Dean has given approval prior to submission for examination for all or part of the thesis to be in another language.
- 9.168 The thesis must be presented on good quality A4 paper.
- 9.169 The thesis pages must be printed on one side only. The printed text must be of good quality with 1.5 line spacing and should normally be in 12 point type.

9.170 The thesis pages must have a margin of at least 3.5 centimetres on the left side of each page to allow for binding. All other margins must be of at least 2.5 centimetres.

9.171 The first page of the thesis must be a title page that includes the following information:

1. the full title of the thesis
2. the research student's full name
3. the name of the research student's Department
4. the month and year in which the thesis was submitted for examination

9.172 The title page of the thesis must be followed by the thesis abstract. The abstract must not exceed 300 words and must include in the form of a heading the full title of the thesis and the research student's full name.

9.173 The thesis abstract must be followed in this order by:

1. acknowledgements page
2. table of contents
3. main body of the thesis
4. appendices (if needed)

9.174 Explanatory notes and references must be numbered and presented as footnotes at the bottom of the relevant page.

9.175 The thesis appendices – or the main body of the thesis if there are no appendices – must be followed by a complete and accurate bibliography. All works referenced in the thesis must be included in the bibliography.

9.176 Addenda to the thesis, such as loose maps or DVDs, must be secured in a pocket attached to the inside of the back cover. Addenda must be labelled with:

1. the research student's full name
2. the degree for which the thesis was submitted for examination
3. the month and year in which the thesis was submitted for examination

9.177 The written component of a practice based thesis submitted for the degree of PhD or MPhil must comply with the requirements for thesis format specified above in 9.167 to 9.175. The practical component of the thesis must be submitted as a created output appropriate to the area of research and in a form suitable for examination.

## Thesis Word Length

9.178 Each College shall have a specified maximum word limit for research degree theses:

1. For research students in the College of Arts, Humanities, and Law, the length of the thesis – including footnotes, but excluding the table of contents, tabulated data, diagrams, any appendices, the bibliography, and table(s) of cases/legislation/treaties cited – must not exceed the following limits:

PhD	80,000 words
MPhil	50,000 words

2. For research students in the College of Medicine, Biological Sciences, and Psychology, the length of the thesis – including footnotes and any appendices, but excluding the table of contents, tabulated data, diagrams, and the bibliography – must not exceed the following limits:

PhD	50,000 words
MD	30,000 words
PysD	30,000 words
DClinPsy	29,000 words
MPhil	30,000 words

Except for research students registered for the degree of PhD, MD, or MPhil and whose thesis is based on qualitative or case study research, where the length of the thesis – including footnotes and any appendices, but excluding the table of contents, tabulated data, diagrams, and the bibliography – must not exceed the following limits:

PhD	80,000 words
MD	50,000 words
MPhil	50,000 words

3. For research students in the College of Science and Engineering, the length of the thesis – including footnotes, but excluding the table of contents, tabulated data, diagrams, any appendices, and the bibliography – must not exceed the following limits:

PhD	50,000 words
EngD	25,000 words
MPhil	30,000 words

Except for research students in the Department of Geography registered for the degree of PhD or MPhil and whose thesis is based on social science research, where the length of the thesis must not exceed the limits specified below in 9.178(4).

4. For research students in the College of Social Science, the length of the thesis – including footnotes, but excluding the table of contents, tabulated data, diagrams, any appendices, and the bibliography – must not exceed the following limits:

PhD	80,000 words
EdD	55,000 words
DSocSci	50,000 words
MPhil	50,000 words

5. For research students in any College registered for the degree of PhD or MPhil and who will submit a practice based thesis, the written component of the thesis must not exceed half of the relevant maximum word length specified above in 9.178(1) to 9.178(4).

9.179 The thesis must not exceed the relevant maximum word limit unless the Graduate Dean has given approval for a higher word limit prior to submission of the thesis for examination.

### **Thesis Submission**

9.180 The research student must on the request of the Graduate School Office confirm the date by which they expect to submit the thesis for examination.

9.181 Research students registered for the degree of PhD or MPhil and who will submit a practice based thesis must on the request of the Graduate School Office confirm the form in which the practical component of the thesis shall be submitted. The exact form that the practical component of the thesis shall take must be discussed and agreed with the supervisory team before submission and shall be subject to the approval of the internal examiner.

9.182 The research student must be registered on the date that they submit the thesis for examination. The research student must submit the thesis for examination by the date at which they complete the relevant maximum registration period unless they have been given an extension of registration by the Graduate Dean or, in the case of research students registered for the degree of MD, by the MD Degree Board of Studies.

9.183 The research student shall be responsible for deciding whether to submit the thesis for examination. This decision should take account of the opinion of the supervisory team. The supervisory team's opinion is advisory only. An opinion that the thesis is ready for submission must not be taken as a guarantee that a degree will be awarded and a decision to award a degree rests wholly with the examining team.

9.184 Research students submitting the thesis for examination must submit to the Graduate School Office two perfect bound copies of the thesis.

9.185 Research students who following examination have been referred for resubmission must submit to the Graduate School Office two perfect bound copies of the revised thesis.

9.186 Research students who following examination have been awarded a research degree must submit:

1. to the Graduate School Office one hard bound copy of the thesis; the cover of the hard bound copy must be standard green (Aberlave Library Buckram No. 563)
2. to the University Library one electronic copy of the thesis; the electronic copy of the thesis shall be deposited in the Leicester Research Archive and made available through the British Library's Electronic Theses Online Service

9.187 Research students who following examination have been awarded the degree of PhD or MPhil on the basis of a practice based thesis must submit to the University Library a permanent record of the practical component of the thesis – such as a physical artefact, photographic record, or audio-visual record.

### **Restrictions on Access to Theses**

9.188 The thesis shall be made available through the University Library, the Leicester Research Archive, and the Electronic Theses Online Service. A request to restrict access to the thesis may be made if there are extenuating reasons for doing so.

9.189 If there are extenuating reasons for restricting access to the thesis, the research student and/or the supervisory team may request that the thesis should be placed under an embargo for a period of no more than three years. The request for a thesis embargo must be made to the Graduate School Office on or before the date at which the thesis is submitted for examination. The Graduate Dean shall be responsible for approving thesis embargos. An approved embargo may apply to the electronic copy of the thesis only or to both electronic and print copies of the thesis.

9.190 Access to the thesis shall be restricted if the research is the subject of a formal confidentiality agreement with a sponsor. In such cases the Enterprise and Business Development Office shall notify the Graduate School Office of the relevant conditions.

9.191 Sponsored research students must comply with any conditions for open access to the thesis that are associated with the terms of their sponsorship.

### **Thesis Examination**

9.192 All research students must successfully defend their thesis in a viva voce examination before a research degree shall be awarded.

9.193 The viva voce examination for research students registered for the degree of PhD or MPhil and submitting a practice based thesis must address both the written and the practical components of the thesis. The examining team shall be required to attend a presentation of the practical component of the thesis and this shall normally be arranged to coincide with the viva voce examination.

## **Examining Teams**

- 9.194 The viva voce examination must be conducted by an examining team. Each examining team must comprise at least two members. At least one member of the examining team must be an external examiner.
- 9.195 Members of the research student's supervisory team must not be members of the same student's examining team.
- 9.196 A second external examiner must be appointed if it is not possible to appoint an internal examiner.
- 9.197 The examining team must comprise two external examiners if the research student to be examined is a member of the University's academic staff.
- 9.198 The examining team shall normally comprise one internal examiner and one external examiner if the research student to be examined is a member of the University's non-academic staff, including research students who have held Graduate Teaching/Research Assistant posts. The Graduate Dean may if appropriate require that two external examiners shall be appointed.
- 9.199 Members of the examining team must not:
1. have or have had a personal relationship with the research student to be examined, any member of that student's supervisory team, any other member of the examining team, or – if appointed – the chair of the viva voce examination
  2. have had substantial involvement in the work of the research student to be examined – including substantial co-authoring and collaborative activities
  3. have their own work as the focus of the work of the research student to be examined
- 9.200 The Head of Department or their nominee shall be responsible for nominating members of the examining team. The Head of Department or their nominee shall normally take advice from the supervisory team of the research student to be examined in identifying possible examiners, but the final decision rests with the Head of Department or their nominee. The nomination of examiners for research students registered at an associated institution shall be the responsibility of that institution.
- 9.201 The Graduate Dean shall be responsible for approving the appointment of all research degree examiners.

## Internal Examiners

9.202 The internal examiner must be one of the following:

1. a member of the University's academic staff
2. a research fellow of the University
3. a clinical member of staff of the National Health Service, or an academic member of staff of the Medical Research Council Toxicology Unit, holding an honorary position with the University

Internal examiners of research students registered at an associated institution may be a member of the staff of that institution. Other honorary and emeritus staff of the University shall not be appointed as internal examiners.

9.203 A member of the probation review panel of a research student registered for the degree of PhD, MD, PsyD, or MPhil may be appointed as the same student's internal examiner.

9.204 The internal examiner must have expertise relevant to the student's area of research and must be an experienced researcher – demonstrated through research publications – or have equivalent professional experience.

9.205 The internal examiner shall be responsible for:

1. making all arrangements for the viva voce examination, including any subsequent viva voce examination if the research student is referred for resubmission, and communicating these arrangements to the research student and the external examiner(s)
2. notifying the Graduate School Office of the date and time at which the viva voce examination will take place
3. ensuring that they are familiar with these regulations and the decisions that the examining team may make on completion of the viva voce examination
4. undertaking an assessment of the thesis in advance of the viva voce examination and completing an independent pre-viva voce examination report which must be submitted to the Graduate School Office at least one day before the viva voce examination takes place
5. conducting the viva voce examination with the external examiner(s) and agreeing with them a joint decision on completion of the examination
6. advising the research student of the decision made by the examining team
7. providing the research student with a verbal report (minor amendments) or written report (major amendments or referral for resubmission) on the changes and corrections to the thesis required by the examining team

8. preparing a joint post-viva voce examination report with the external examiner(s) and submitting this to the Graduate School Office together with, if required, a copy of the written report on the changes and corrections to the thesis required by the examining team
9. assessing the changes and corrections made to the thesis by the research student and then confirming whether these have been completed satisfactorily if the examining team has required either minor or major amendments
10. assessing the resubmitted thesis and, if needed, conducting a further viva voce examination if the examining team has decided that the research student should be referred for resubmission

### **External Examiners**

9.206 The external examiner must not be a member of the University's staff or, a member of staff of the Medical Research Council Toxicology Unit, or, in the case of research students registered at an associated institution, a member of the staff of that institution.

9.207 The external examiner must have expertise in the student's area of research and be an experienced researcher – demonstrated through research publications – and have experience of supervising and examining research students.

9.208 Former members of University staff may be appointed as external examiners provided that they continue to be actively engaged in research and there has been a period of at least three years between them leaving the University and the date of the viva voce examination. A longer period may be required if appropriate. Other honorary and emeritus staff of the University shall not be appointed as external examiners. Emeritus staff of another institution may be appointed as external examiners provided that they continue to be actively engaged in research.

9.209 The external examiner must not:

1. have been involved in the three years immediately before the viva voce examination in any collaborative project, including co-authoring, with any member of the supervisory team of the research student to be examined or any other member of the examining team
2. have or have had a close personal relationship with the research student to be examined or any member of the staff of that student's Department
3. have or have had a close contractual relationship with the research student to be examined or any member of the staff of that student's Department if this may give rise to a perception of a conflict of interest

9.210 The external examiner shall be responsible for:

1. undertaking an assessment of the thesis in advance of the viva voce examination and completing an independent pre-viva voce examination report which must be submitted to the Graduate School Office at least one day before the viva voce examination takes place
2. conducting the viva voce examination with the internal examiner and agreeing with them a joint decision on completion of the examination
3. agreeing with the internal examiner the requirements for changes and corrections that the research student will be asked to make to the thesis
4. preparing a joint post-viva voce examination report with the internal examiner
5. assessing the changes and corrections made to the thesis by the research student and then confirming whether these have been completed satisfactorily if the examining team does not include an internal examiner and has required either minor or major amendments
6. assessing the resubmitted thesis and, if needed, conducting a further viva voce examination if the examining team has decided that the research student should be referred for resubmission

#### **Examination Chairs**

9.211 A chair for the viva voce examination shall be appointed if one or more of the following criteria apply:

1. the internal and external examiners have between them examined fewer than five research students in the past three years
2. the internal examiner has little or no experience of examining research students at the University
3. the examining team does not include an internal examiner
4. the research student to be examined is a member of the University's staff
5. the examining team requests that a chair is appointed
6. the Head of Department or the Graduate Dean requests that a chair is appointed

9.212 The chair of the viva voce examination is not a member of the examining team and does not examine the thesis. The chair of the viva voce examination is present to ensure that the viva voce examination is conducted in accordance with these regulations and standard practice for the discipline.

9.213 The chair must be a senior member of the University's academic staff who has previously examined at least one research student of the University.

9.214 A member of the research student's supervisory team must not be appointed as the chair for the same student's viva voce examination.

9.215 The Head of Department or their nominee shall be responsible for nominating the chair of the viva voce examination. The Graduate Dean shall be responsible for approving the appointment of the chair of the viva voce examination.

9.216 The chair of the viva voce examination shall be responsible for:

1. providing the examining team with administrative and/or procedural advice as needed
2. ensuring that the examining team's joint decision on completion of the viva voce examination is consistent with the decisions permitted under these regulations

If the examining team does not include an internal examiner, the chair of the viva voce examination shall be responsible for making all arrangements for the viva voce examination, including any subsequent viva voce examination if the research student is referred for resubmission, and communicating these arrangements to the research student and the external examiners.

### **Examination Conduct**

9.217 Research degree viva voce examinations shall normally be held at the University, including appropriate University Hospitals of Leicester sites. In exceptional circumstances, and with the prior approval of the Graduate Dean, the viva voce examination may be held at another appropriate location.

9.218 The viva voce examination shall normally be held within three months of the examiners receiving the research student's thesis.

9.219 Only the research student, the examining team, and – if appointed – the examination chair, shall normally be present during the viva voce examination. Members of the research student's supervisory team may attend that student's viva voce examination as observers; the attendance of members of the supervisory team shall be at the discretion of the examining team and permitted only with the consent of the research student.

9.220 The research student's first supervisor shall normally be available at the time of the viva voce examination should they need to be contacted by the examining team.

## Examination Outcomes

9.221 The examiners shall on completion of the viva voce examination jointly make one of the following decisions:

1. to award the degree for which the research student was examined with distinction (research students examined for the degree of MD)
2. to award the degree for which the research student was examined
3. to award the degree for which the research student was examined subject to the satisfactory completion of minor amendments to the thesis
4. to award the degree for which the research student was examined subject to the satisfactory completion of major amendments to the thesis
5. to refer the research student for resubmission of the thesis for the same degree as which they were examined
6. to award a degree lower than that for which the research student was examined (research students examined for the degree of PhD, DSocSci, or EdD)
7. to award a degree lower than that for which the research student was examined subject to the satisfactory completion of minor amendments to the thesis (research students examined for the degree of PhD or EdD)
8. to refer the research student for resubmission of the thesis for a degree lower than that for which they were examined (research students examined for the degree of PhD or EdD)
9. to fail the thesis with no right of resubmission

9.222 If the examining team is unable to agree a joint decision, advice must be sought from the Graduate School Office as to whether an additional external examiner should be appointed and a further viva voce examination held.

9.223 The examining team may take into account the wishes of the research student if presented with a choice between a decision to:

1. refer the research student for resubmission of the thesis for the same degree as which they were examined

or

2. award a degree lower than that for which the research student was examined

The research student's wishes should be discussed at the time of the viva voce examination but the student shall not be required to provide an immediate response. The wishes of the research student should be made known to the examining team before its decision is submitted to the Graduate School Office. The examining team shall not be bound to follow the expressed wish of the research student.

9.224 A decision to award a degree subject to the satisfactory completion of minor amendments shall involve amendments that are:

1. largely typographical or grammatical and may include corrections to references and/or diagrams and the re-writing of small sections of text
2. communicated verbally to the research student at the end of the viva voce examination
3. completed and submitted to the internal examiner within one to three months, as specified by the examiners, of the viva voce examination

9.225 A decision to award a degree subject to the satisfactory completion of major amendments shall involve amendments that are:

1. more than typographical and other minor corrections and may include substantial re-writing of parts of the thesis
2. communicated in writing to the research student following the viva voce examination
3. completed and submitted to the internal examiner within three to six months, as specified by the examiners, from the date at which the research student is provided with the examining team's post-viva voce examination report including details as to the changes and corrections required

9.226 A decision to award a lower degree to a research student who was examined for the degree of PhD, DSocSci, or EdD shall be conditional on:

1. the thesis meeting the requirements for the degree of MPhil (research students examined for the degree of PhD or EdD)

or

2. the student having successfully completed the taught components and other programme requirements (research students examined for the degree of DSocSci or EdD)

9.227 A decision to refer the research student for resubmission of the thesis shall be made if the examining team agrees that the research student should:

1. undertake further research or repeat completed research

and/or

2. re-write or restructure large parts of the thesis

The examining team shall specify a referral period of between six and twelve months from the date at which the research student is provided with the examining team's post-viva voce examination report including details as to the changes and corrections required. A resubmission fee shall be payable.

9.228 If the research student is referred for resubmission of the thesis, the examining team shall decide whether a further viva voce examination is needed. The decision whether to hold a further viva voce examination shall be taken once the examiners have assessed the resubmitted thesis. A further viva voce examination shall, if needed, normally be held within three months of the examiners receiving the resubmitted thesis.

9.229 The examiners shall on completion of the assessment of the resubmitted thesis, and a further viva voce examination if one is held, jointly make one of the following decisions:

1. to award the degree for which the research student was examined with distinction (research students examined for the degree of MD)
2. to award the degree for which the research student was examined
3. to award the degree for which the research student was examined subject to the completion of minor amendments to the thesis
4. to award a degree lower than that for which the research student was examined (research students examined for the degree of PhD, DSocSci, or EdD)
5. to award a degree lower than that for which the research student was examined subject to the completion of minor amendments to the thesis (research students examined for the degree of PhD or EdD)
6. to fail the thesis with no right of resubmission

9.230 If the examining team decides following resubmission to award the degree for which the research student was examined subject to the completion of minor amendments, the amendments needed shall be as specified above in 9.224.

9.231 If the examining team decides following resubmission to award a degree lower than that for which the research student was examined, this shall be conditional on the requirements specified above in 9.226.

9.232 A decision to refer for resubmission a research student who was examined for the degree of PhD or MPhil on the basis of a practice based thesis, or to require minor or major amendments to a practice based thesis, may involve changes to the written component of the thesis and/or the practical component.

9.233 Research students who are required to make minor or major amendments to the thesis or who are referred for resubmission of the thesis must not contact members of the examining team regarding the changes or corrections required. Research students who need clarification on any points relating to the changes or corrections required must seek advice from the supervisory team.

### **Award and Conferral**

9.234 The research student shall receive formal notice of the award of the degree following receipt by the Graduate School Office of a decision by the examining team that an award should be made.

9.235 The University may withhold the award of a research degree until such time as the research student has complied with all thesis final submission requirements – submission of one hard bound copy of the thesis to the Graduate School Office and one electronic copy of the thesis to the University Library.

9.236 The conferral of the degree shall take place at the first appropriate degree congregation following award of the degree. Full academic dress must be worn when the research student is presented at the degree congregation.