

# Code of Practice on Research Degree Programmes

Version effective from 1st October 2021

This Code of Practice has been prepared by the Research Committee in order to assist doctoral researchers, supervisors, directors of doctoral programmes and examiners. It applies to all higher degrees by research and should be read in conjunction with





face to face meetings. Part-time doctoral researchers, and doctoral researchers working away from the University, should have formal contact with their Supervisors at a frequency equivalent to the above related t

assistance. As noted above, student visa holders should be working on the revisions to their thesis full-time and meetings must continue to take place and be recorded on the same basis as during tuition fee paying registration.

### Director of Doctoral Programmes

The Dean of School shall nominate as Director of Doctoral Programmes, and where necessary Deputy Directors of Doctoral Programmes, whose role shall be:

#### Recruitment and overseeing the admissions process.

- x Working proactively with the Dean, the ADR and others to support the recruitment of new doctoral researchers across all disciplines and sub-disciplines in the School/Dept so as to build a thriving doctoral researcher community;
- x Receiving and reviewing applications for research degrees, and, in consultation with colleagues, confirming decisions on those applications;
- x Assisting in the dissemination of information concerning relevant doctoral researcher funding opportunities;
- x Ensuring that School doctoral researcher publicity materials, including relevant web pages, are up to date;
- x Raising the profile of doctoral researcher related matters across the School and encouraging colleagues to seek funding to support future doctoral researchers.

#### Overseeing doctoral researcher induction and training.

- x Ensuring that all new doctoral researchers are properly inducted and integrated into the research community of the School/Department either through a formal School induction event at the start of the academic year, or for those doctoral researchers who join later in the year, through individual induction programmes at an appropriate time;
- x Identifying, in conjunction with supervisors, the learning needs of new doctoral researchers and helping them to decide on appropriate training courses; encouraging doctoral researchers to review their own changing learning needs during the course of their programme, and to participate in appropriate training sessions;
- x In conjunction with taught Programme Directors, to co-ordinate issues relating to Postgraduate Teaching Assistants, including their additional skills training and progress in relation to teaching duties. (Note this may not apply in all Schools.)

#### Progress monitoring.

- x Ensuring that all doctoral researchers are receiving appropriate supervision, that supervisors are employing best practice and to monitor supervisory loads;
- x To liaise with the Dean to ensure appropriate supervision arrangements are made whenever a supervisor leaves;
- x To be the point of contact for doctoral researchers where there are difficulties with supervision and to escalate these to the Dean or ADR in the first instance where necessary;
- x Overseeing progress reviews for all doctoral researchers, including appointment of Independent Reviewers, and ensuring that there is a robust progress monitoring and review system through a Progression Board;

- x Dealing with any issues (academic or personal) in conjunction with the Dean, ADR, or Supervisors arising from Progress Meetings that cannot be satisfactorily be dealt with by the progress reviewers, taking advice from professional services as necessary, and ensuring that appropriate records of progress meetings are kept;
- x Overseeing annual reports from doctoral researchers and their supervisors on progress;
- x In conjunction with supervisors to encourage and/or arrange opportunities for doctoral researchers to make presentations of their research internally, and to seek publication opportunities, conference presentation opportunities, or practical work exhibition/production opportunities as appropriate;
- x In conjunction with supervisors to ensure that doctoral researchers working away from Loughborough are kept in touch with the School and its research culture;
- x To support doctoral researcher support staff in the School in ensuring attendance monitoring records are kept up to date and that the School doctoral researcher handbook is up to date;
- x To report to the ADR on issues relating to the management and oversight of research degree programmes;
- x To represent doctoral programmes at meetings of Progression Boards or School Committees;
- x To participate in Academic Misconduct or Student appeal hearings if required;
- x To contribute to the School periodic review processes.

#### Other

- x Providing an initial point of contact where a doctoral researcher has a complaint and to resolve that complaint wherever possible informally as part of the University's complaints procedure;
- x Providing guidance on the University Regulations or seeking further advice where appropriate;
- x With the ADR maintaining an overview of the allocation and distribution of studentships and dealing with issues arising in connection with studentships in conjunction with the Doctoral College Office;
- x Preparing and delivering reports on doctoral researcher issues to relevant School and Doctoral College meetings;
- x Attending relevant School and University committee meetings concerned with doctoral researcher issues and raising any specific issues that require attention.

#### Role of the Independent Reviewer

An Independent Reviewer should be identified at the earliest opportunity by a doctoral researcher's supervisors and nominated to the Director of Doctoral Programmes for approval.

The Independent Reviewer should have sufficient expertise in the field of the doctoral researcher's research programme to be able to make an informed judgement on their progress.

The Independent Reviewer shall review output produced by the doctoral researcher in accordance with the paragraphs 5 and 6 of Regulation XXVI. They will produce reports

for consideration by the Progression Board which include a recommendation on the doctoral researcher's progression in accordance with paragraph 6.4 of Regulation XXVI.

The same member of staff should normally act as the Independent Reviewer throughout the research degree programme if appropriate.

The Independent Reviewer may not normally act as the internal Examiner for the thesis submission unless there are exceptional circumstances, and permission has been given by the Doctoral College Office.

### The Role of the Dean of School

The Dean of the School will appoint a Director of Doctoral Programmes for the School and one or more Deputies depending on the size of the School.

The allocation of supervisors and School facilities to doctoral researchers will be undertaken on an operational basis by the Director of Doctoral Programmes and where necessary Associate Dean (Research). Supervisors will typically be responsible for the allocation of specific research facilities. However, the Dean remains accountable overall for the adequate provision of resources and support to doctoral researchers registered in the School.

## ROLE OF THE DOCTORAL RESEARCHER

The responsibilities of a doctoral researcher include:

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- x maintaining contact with their Supervisor(s) while pursuing their research up to and including submission;
- x submitting a thesis to their Supervisor(s) for comment prior to being submitted.

The doctoral researcher must be aware that the research to be pursued must be their own work and they should determine the research programme after an initial period of instruction and assistance from their Supervisors.

A doctoral researcher need not confine their requests for advice to their Supervisors but may approach any member of the academic staff who can help.

In exceptional cases a doctoral researcher may ask their Director of Doctoral Programmes for one or more of their Supervisors to be changed if the research is progressing along lines outside their Supervisors' area of expertise or for any other reason that the doctoral researcher may consider makes a change desirable.

If the initial request to the Director of Doctoral Programmes for a change of Supervisor is agreed, this will then be subject to approval from the Dean of the School will appoint a new Supervisor. If a solution cannot be found an approach should then be made to the Associate Pro Vice-Chancellor of the Doctoral College, whose decision shall be final.



Doctoral researchers must re-register annually, by the anniversary of their initial registration date. Doctoral researchers will be permitted to re-register whilst they are revising a progress report to fulfil the requirements of their Doctoral Researcher Progression Board in accordance with paragraph 6.4 of Regulation XXVI. The annual registration date may be adjusted in light of any approved period of leave of absence which has extended the period of study.

Doctoral researcher re-registering late will be charged a late registration fee at a level set by Council. If a doctoral researcher does not re-register within one month of the anniversary of their initial registration, and an adequate explanation has not been provided to the Doctoral College Office, they will be considered to have abandoned their studies and their registration at the University will normally be terminated.

Tuition fees will be charged annually for the doctoral researcher's period of study and are payable on registration and re-registration. Doctoral researchers will receive a written notice of the need to re-register annually from the Doctoral College Office and any outstanding debt will be drawn to their attention. Re-registration will not be permitted if tuition fee debts are outstanding and registration may be terminated. Further details will be found in paragraphs 16-22 of Regulation XVI.

Where a doctoral researcher is required to undertake further work for a period of 3 months (or 6 months for part-time students) to enable them to complete the requirements to progress, they will be permitted to re-register and tuition fees will initially be charged for the whole subsequent year. In the event that the doctoral researcher is not permitted to progress and studies are terminated, tuition fees will be refunded in relation to the remaining period of registration on a pro rata basis.

## PROGRESS MONITORING

(See also, [Regulation XXVI: Paragraph 3, 5.2](#))

Progress monitoring should be a continuous process conducted through regular supervisory contact and the review of written work. Where a doctoral researcher's performance or attendance gives cause for concern between the scheduled reviews then the provisions of Regulation IX may be invoked in accordance with paragraph 5.1 of Regulation 26.

### Initial 6 Month Review

Full and part time students shall have an initial progress review after 6 months registration. The purpose of the review is to ensure engagement with the programme and that a research plan is in place and underway. The requirements for the 6-month review are contained in paragraph 5.2 of Regulation 26

### Subsequent Progress Reviews

The formal framework and criteria for subsequent progress reviews are set out in paragraph 5.2 of Regulation XXVI. After the initial 6-month review, all doctoral researchers will have a progress review on an annual basis prior to the anniversary of their registration date. For full-time doctoral researchers, this review will always be an end of Part review. Part-time doctoral researchers will have mid-Part reviews as well as end of Part reviews to ensure progress remains on track and that any concerns are picked up in a timely way in the interests of both doctoral researchers and supervisors.

Progress Reviews will include submission of written work and other materials as appropriate to the research programme and will include a progress review meeting. The progress review meeting will be conducted by at least one Independent Reviewer who is not one of the doctoral researcher's Supervisors. If there is more than one Independent Reviewer, one will act as chair in the meeting and be responsible for producing the progress report and recommendation. The Director of Doctoral Programmes should ensure meetings are arranged in a timely manner. The Supervisors may attend as Observers with the doctoral researcher's agreement.

The decision to amend registration from PhD to MPhil may be taken at the earliest after two unsatisfactory end of R1 progress reviews for a full time programme, or two unsatisfactory mid-part (R1) reviews for part time programmes. The progress review

Where the Board's decision is that the doctoral researcher's registration be terminated or amended from PhD to MPhil, the Board shall notify the Doctoral College Office who will inform the doctoral researcher and advise them of their appeal rights.

## ABSENCE FROM STUDIES

### Definitions

#### Short absence

A short absence is an approved break from studies for up to 1 month where there is no academic engagement. It is intended to assist a doctoral researcher through short-term adverse circumstances, including, but not limited to, illness and recovery from illness, and minor or moderate injury.

Short absence can only be given for a period of up to 1 calendar month.

The doctoral researcher's next review date and submission date will not be adjusted when a short absence is taken.

Where a doctoral researcher is on a short absence, but it is anticipated that the circumstances for which it was taken are likely to affect them for more than one month, the doctoral researcher and their supervisors should seek advice from the Doctoral College Office as to whether submitting a Leave of Absence request is appropriate to support the doctoral researcher's wellbeing and academic progress.

#### Leave of Absence

Leave of Absence is a recognised and authorised break from studies where there is no academic engagement. Leave of Absence is not a means to extend study periods.

Leave of Absence will normally only be given for requested periods of absence exceeding 1 calendar month and not exceeding 12 calendar months.

Leave of Absence must not be used to accommodate a short period of absence (less than 1 calendar month).

Leave of Absence should not be used where an alternative option to support the doctoral researcher's academic progress, such as the Mitigating Circumstances procedure, would be more appropriate.

Leave of Absence will be appropriate where a doctoral researcher wishes to take maternity leave, paternity leave or other parental leave, and in cases of prolonged physical or mental ill health. Requests on the grounds of difficult personal circumstances will also be considered. In exceptional circumstances, Leave of Absence for the purposes of short-term employment, temporary lectureships, exchanges, voluntary service or expeditions/sport will also be considered.

The doctoral researcher's next review date and submission date will be adjusted by the period of Leave of Absence taken. All time spent on Leave of Absence for a doctoral researcher is excluded when calculating the time limit for the submission of the thesis.

## Sickness policy

Where a doctoral researcher is absent from their research programme due to short-term sickness or illness, they must notify their primary supervisor at the earliest opportunity.

Where a doctoral researcher is absent for up to 7 calendar days, they should notify their supervisors and School research administrator as soon as possible after it is obtained.

Where a doctoral researcher is absent for more than 7 calendar days, they must provide a medical certificate to support their absence. This should be submitted to their supervisors and School research administrator as soon as possible after it is obtained.

If the doctoral researcher's period of sickness extends beyond 14 calendar days, they must notify their supervisors as soon as possible. The supervisors must then consider, in consultation with the doctoral researcher and the DDP, whether requesting a short absence may be appropriate.

Where a doctoral researcher is receiving a stipend funded by a research council, the Doctoral College, or a funding body where payments are administered through the University, they will normally be entitled to a total of 13 weeks sickness pay within a 12-month period. This is dependent on the absence being supported by medical evidence.

## Short absence (up to 1 month)

An approved absence of up to 1 calendar month is defined as a short absence. It will not be processed as a Leave of Absence and should instead be recorded by Schools on Co-Tutor with appropriate documentation and evidence. If the doctoral researcher holds a student visa, the short absence must be reported to the Doctoral College Office so that they can fulfil reporting obligations to UKVI.

The short absence process must not be used to request or record annual leave. Doctoral researchers should request annual leave using the Annual Leave Request Form in Documentation for Doctoral Researchers.

Where a doctoral researcher has requested more than one short absence in a short period of time, the DDP and the doctoral researcher's supervisors should have a constructive and supportive discussion with the doctoral researcher about the circumstances that have led to the requests. They should consider whether requesting a period of Leave of Absence may be the most appropriate action to support their wellbeing and academic progress. DDPs and supervisors are encouraged to consult with the Doctoral College Office as necessary.

Leave of Absence (> 1 month and < 12 months)

Leave of Absence is a recognised and authori









Unauthorised absence for more than one month, whatever the circumstances, must be followed up by the School and the Doctoral College Office must be informed of the concerns.

If a doctoral researcher does not respond adequately within a further 2 weeks, the situation must be reported to the Doctoral College Office who will make further enquiries and may advise the Office to suspend the student's registration with the Doctoral College Office.





In the event of a 'Pass' outcome requiring minor or modest amendments, or a recommendation that the doctoral researcher be awarded an MPhil subject to the completion of minor or modest amendments, assessing and approving any required amendments to the thesis and notifying the Doctoral College Office that they have been approved. In the event of a 'Refer' outcome, examining – with the external examiner – the resubmitted thesis and considering whether the revisions have been undertaken and the overall standard for the award of the research degree has been reached. Where relevant, they will also organise any second viva examination.

The external examiner is responsible for:

Responding promptly to communications from the Doctoral College Office and the internal examiner regarding their appointment and the organisation of the viva.

Notifying the Doctoral College Office and internal examiner of any adjustments relating to a physical or mental condition that are required to enable them to attend and conduct the viva.

Complying with the University's requirement to conduct a Right to Work check by providing a copy of their passport to the Doctoral College Office upon their appointment, and providing the School research administrator, or relevant School contact, with the original passport on the date of the viva.

Completing the Examiners' Independent Preliminary Report form prior to the oral examination, and completing the Examiners' Joint Report and Outcome form immediately after the viva.

In the event of a 'Refer' outcome, examining – with the internal examiner – the resubmitted thesis and considering whether the revisions have been undertaken and the overall standard for the award of the research degree has been reached.

Where present (see criteria in Regulation XXVI), the independent non-examining chair is responsible for:

Ensuring that the viva is conducted in accordance with Regulation XXVI and in the

Assisting or acting on behalf of the internal examiner to book the external examiner(s)' accommodation, catering for the day of the viva, room bookings, taking a copy of their passport for the purpose of the Right to Work check, etc.

The Doctoral College Office is responsible for:

Ensuring that the doctoral researcher's thesis is sent to the internal and external examiners in a timely way, and normally within 2 working days of submission.

Acting as a point of contact for the doctoral researcher, internal and external ecn 2 stbo ias r

## Before the viva examination

Examiners must ensure that adequate time is set aside for the oral examination. This should include time for any pre-viva discussion between the examiners, the viva examination itself and the drafting of the Examiners' Joint Report and Outcome form.

The oral examination should usually be held at the University but can take place via electronic means if all parties agree to the arrangements. The internal examiner or School research administrator should consider the suitability of the room for the purpose of an oral examination to ensure as few distractions as possible. This should include environmental conditions (such as lighting and temperature) as well as noise (away from building work, for instance).

It is important that the need for reasonable adjustments is identified well in advance of the viva examination. The Doctoral College Office shall work in partnership with the Student Wellbeing and Inclusivity Team, as well as the doctoral researcher's examiners, to identify when reasonable adjustments may be required to support the doctoral researcher's performance at the oral examination and what specific adjustments should be implemented. The internal examiner is responsible for facilitating on the day any reasonable adjustments to the oral examination, which will have been agreed upon in advance.

Attendance at an oral examination by the doctoral researcher for a research degree may be waived only by the Associate Pro Vice-Chancellor for the Doctoral College with the advice of the Student Wellbeing and Inclusivity Team. Where attendance at the oral examination is waived a second or third external examiner should be appointed as considered appropriate.

The internal examiner should establish the attendees to the examination. Only the doctoral researcher to be examined and the examiners (including an independent non-examining chair where one has been appointed) should normally be present during the viva examination. Only one member of the doctoral researcher's supervisory team may attend the viva examination as an observer, but only where the doctoral researcher has indicated that they will do so in their 2.3 (or) 2.5her-

Immediately prior to the viva, the examiners should arrange to confer with one another in order to:

- x Exchange copies of the Independent Preliminary Report forms (if this has not already been done)
- x Identify matters to be raised in the examination
- x Agree the broad strategy for the examination, such as who will ask what questions and in what order

The viva examination may not proceed without all the appointed examiners being present. In the event of an Examiner's unexpected illness, the examination must be postponed to another date. In the event of an independent non-examining chair's illness, the School should identify and appoint a replacement.

Where a doctoral researcher's attendance at an oral examination has been waived, their examiners should meet to discuss their recommendation. If it is not possible for all the examiners to meet this must be part of the case made to the Associate Pro Vice-Chancellor (Doctoral College) when seeking to waive the requirements for a doctoral researcher to attend an oral examination.

### At the viva examination

The doctoral researcher should be welcomed and made to feel at ease as much as possible.

The internal examiner should explain the purpose of the viva examination and the roles of those present.

If the doctoral researcher's supervisor and/or an independent non-examining chair are present, the internal examiner should clearly explain their roles:

- x The supervisor is in attendance as an observer only and must remain silent during the examination. The supervisor may not participate in the examination and takes no part in the academic judgement of the examination or the decision-making process
- x The role of the independent non-examining chair is to ensure that the examination is conducted in a fair, equitable and professional manner, and in accordance with Regulation XXVI. The independent non-examining chair does not play a role in the academic examination or questioning of the doctoral researcher. They will, however, remain in the room after the examination while the examiners discuss their final recommendation on the outcome

Prior to meeting the doctoral researcher, as outlined in 7.2, the examiners should discuss the strategy they propose to adopt during the oral examination and, at its outset, this should be outlined to the doctoral researcher.

Examiners should be cautious about their comments on the potential outcome of the examination at the outset of the viva, given that the viva is an integral part of the examination process. It is advised that no-one indicates to the doctoral researcher, either before or during the viva, what is the likely outcome of the examination.

The examination should be conducted in such a way that the doctoral researcher has sufficient opportunity, encouragement and time to explain their research and defend the thesis.

The doctoral researcher should be allowed the time to collect their thoughts and develop responses to the questions posed by the examiners. They should be allowed to consult their copy of the thesis (which may be annotated) during the examination.

While some robust questioning of the doctoral researcher may be needed, it must not be aggressive or intimidatory. Examiners should use succinct and focused questions wherever possible. Questions should be relevant to the work. If the doctoral researcher gives a poor answer, the examiners should seek to rephrase the question and give the doctoral researcher an opportunity to provide an improved response.

The viva examination should run for as long as may be necessary for it to serve its proper purpose (see section 2), allowing short breaks if necessary or requested.

If the doctoral researcher becomes unwell or distressed during the oral examination – whether this relates to a physical or mental health problem – the examiners should consult with the doctoral researcher and supervisor(s) to d8 0 Td [(t)-20a/(i)-11.8 (n)( )0.7 (r)cd d





Outcomes indicating that the thesis and oral examination have failed to meet the criteria for the award of the research degree

5. Fail: recommend award of the degree of Master of Philosophy without amendments

6. Fail: recommend award of the degree of Master of Philosophy with minor amendments

Minor amendments may include: correction of typographical, spelling and grammatical errors; minor errors or omissions in content; corrections to references; improvements to the quality of diagrams, tables, charts or images; alterations to appendices; minor changes to layout. They will require no new research.

The maximum timeframe for completion of minor amendments is 2 months . They are subject to the approval of the internal examiner.

7. Fail: recommend award of the degree of Master of Philosophy with modest amendments

Modest amendments require further work beyond correcting editorial or formatting errors and minor errors or omissions in content. They may require limited further analysis, re-writing or re-





3. A submission may take one of the following forms:
- i. A minimum of eight research articles from refereed journals, or other equivalent academic output, would normally be expected for a PhD submission. An introductory chapter should accompany the articles. This chapter should be up to 6000 words in length and should, where not apparent from the articles themselves, explain the common theme of the papers or output, linking them into a coherent whole; explain the methodology; place the articles in a theoretical context provided by the wider literature; suggest what further work needs to be done and indicate the author's contribution to co-authored publications or output. Other research output such as computer software or patents may also be presented provided that the material is publicly available.
  - ii. A single research monograph may be presented for a PhD submission. This method of submission (by publications or other academic output) would not normally be appropriate for the award of the degree of MPhil.

In addition to the thesis the following must be submitted:

- x a signed certificate stating that neither the thesis nor the original work contained therein has been submitted to this or any other institution for a degree.
- x three additional copies of the abstract, not bound into the thesis, of about 300 words and not longer than can be accommodated on one side of a sheet of A4 paper, which are required for library abstracting purposes.
- x a list of 6 to 10 'Key words' in order to assist the University Library to catalogue the thesis.

#### Submitting published work

Where a submission of published work is being made under paragraph 6 or 7 of the Regulations, paper, journal articles and other unbound items should be bound in soft covers for submission. It is preferable that such articles etc. are photocopies on A4 paper so that the submission is of uniform consistency. Books and monographs may be submitted separately from the bound collection of articles. The bound collection should contain:

- x a sheet giving the candidate's name, a title descriptive of the collection of documents and the degree for which it has been submitted; and
- x a list of items included in the submission.
- x a statement specifying the current location of copyright in each case.

## PRESENTATION BY STANDARD THESIS FORMAT

This route can be used when submitting for the award of MPhil or PhD as defined under section 3.1 of Regulation XXVI.

### Copies for Submission

An electronic copy of the work must be submitted to the Doctoral College (Registry) for examination. The thesis must be written in English. Text, should be sCCy31.9 ( )-32.3 (be )t.3 (he







- x Schools will set out in their own guidance the expected timescales for discussion and agreement of the use of the alternative format and you should check this guidance carefully.
- x The School guidance will indicate when the format must be agreed, and this will be no later than the R2 review.
- x The format of the thesis should be discussed at the earliest opportunity and Schools may require such discussions to be before the 6-month review. Intention to use this format should be recorded by the primary supervisor and doctoral researcher in relevant progress reports as stipulated by the School.
- x In rare circumstances – and only with the authorisation of the DDP– a doctoral researcher may switch formats after formal agreement by the School.
  - o Format switches are allowed only in truly exceptional circumstances.
  - o Doctoral researchers are strongly advised not to use registration time to rewrite material from one format into another. Later decisions to change the thesis format would not be sufficient cause to warrant an extension to registration for rewriting purposes.
- x Doctoral researchers will be asked to indicate the format of their thesis during the examination process when completing their Intention to Submit Form.
  - o Supervisors should confirm the format with potential external Examiners, in writing via email, before the latter agree to serve as external Examiners.

## Structure

The supervisors are best placed to advise on how to structure a thesis in alternative format.

- x The work must constitute a body of publications tending towards a coherent and continuous thesis, rather than a series of disconnected publications. The thesis should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis outlined in 9.3. The thesis must satisfy the following criteria:
- x The number of papers included in the alternative format thesis may vary according to discipline, but should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis. It should normally be a minimum of three papers.
- x The supervisor and doctoral researcher need to agree on the number of papers that will be included, and this must be recorded in your progress reports.
- x In addition to the stand-alone papers, the thesis must include:
  - o An introductory chapter, which in addition to the standard content of an introductory chapter in the discipline, includes:
    - x an account of how the thesis has been constructed, including identification of chapters that are published or in publishable format;
    - x an explanation of how all the papers fit together into a coherent and continuous thesis.
  - o A detailed and critical analysis of the methods used, which may be in a separate chapter if the papers formatted for publication do not include this level of detail.



## Copyright

Where a thesis contains third party copyright material the doctoral researcher must obtain permission for its publication, including on the Internet via the University's Research Repository. If the doctoral researcher is unable to obtain permission for the



## Submission of final electronic Copy

One electronic copy of the final version of the thesis, as approved by the Examiners, of the submission will be lodged with the University Library and access to it will be determined, initially by the classification assigned to the thesis on the access conditions form (see Appendix III and VI).

A research degree will not be awarded until an electronic copy of the final version of the thesis, as approved by the Examiners, has been deposited in the University Library together with a Thesis Deposit Agreement.

## Standard Thesis Conditions

The standard thesis access conditions will apply as above.

# PHD SUBMISSIONS BY PRACTICE – STAFF CANDIDATES

## Guidelines

1. The general principles for any submission for a higher degree should apply, namely that the work should represent an original contribution to knowledge, should provide evidence of training in and the application of research methods appropriate to the field of study and should not have been presented for a higher award at another institution. In addition, the candidate should be able to demonstrate that she/he is well acquainted with the general field of knowledge to which the subject relates.
2. Practical output must demonstrably embody original research. Submissions by this route must show that they are subject to interrogation and critical review and demonstrate impact on or influence the work of peers, policy and the development of practice.
3. The research outcomes must form a coherent whole and relate to a common theme. The submission should be equivalent to one by research thesis.
4. A submission may take one of the following forms:
  - i. A minimum of eight presentations within the public domain would normally be expected for a PhD submission. For the purpose of these guidelines, by definition 'presentations' should include a full and comprehensive record of each outcome, contextual material, including published texts and, where necessary and appropriate additional explanatory material. An introductory

# PRACTICE BASED RESEARCH DEGREES

## Guidelines

1. A research degree submission with a practice element is designed to accommodate the idea that not all knowledge is







Where a doctoral researcher is being funded from University funds such funding will not transfer with the doctoral researcher. Where a doctoral researcher is being funded from a research contract the advice of the Finance Office on the contractual arrangements should be sought at an early stage.

International doctoral researchers with student visas will need to apply for permission to study at the new institution and must not transfer until the appropriate arrangements have been set in train. They should seek advice from the Student Advice Centre and keep the Doctoral College Office informed.

The transfer of any doctoral researchers will be subject to the agreement of the Dean of School. Where a doctoral researcher is unwilling or unable to transfer to another institution, the School should make every possible attempt to appoint a replacement Supervisor within or outside the School. The particular funding arrangements will require individual negotiation.

If a doctoral researcher wishes to initiate a transfer for an acceptable reason other than accompanying their Supervisor, then every effort should be made by the School in conjunction with the Doctoral College Office to assist them in accomplishing the above procedures. In case of difficulties doctoral researchers should be referred to the Doctoral College Office.

### Transfers to Loughborough University

All transfers to the University involving credit for research commenced elsewhere will be subject to the approval of the Director of Doctoral programmes in the appropriate School. It will be expected that research training has been accomplished otherwise this will be required.

Candidates must be in a position to register for a minimum of 12 months and pay fees in order to be eligible to register for a degree. A secondary supervisor and Independent Reviewer should be identified as part of the consideration of the transfer.

The Doctoral College Office should be alerted at an early stage of any potential transfer.

The following documentation must be provided by the incoming Supervisor or by the doctoral researcher if they are not transferring with a Supervisor:

- x A completed research application form.
- x The written agreement of the sponsoring body to a transfer.
- x A statement from the host University that progress has been satisfactory, confirmation of the periods of registration, confirmation of the degree registered for and that all fees have been paid.
- x If a doctoral researcher is transferring for reasons other than joining a Supervisor, the circumstances should be made clear.

An application form must be submitted to the School and subject to their agreement, the case will be made to the Associate Pro Vice-Chancellor (Doctoral College) via the

## APPENDICES

### Appendix I

University Ordinance XXXIX (Ownership and Commercial Exploitation of Intellectual Property)

### Appendix II

University Regulation XVI - Tuition Fees and Payments for Other University Services

### Appendix III

Format for the Frontispiece of Theses, Dissertations and Project Reports

The frontispiece of your submission should take the form of the specimen shown below. Your submission should be identified by indicating that it is, for example, 'A Doctoral Thesis' or 'A Master's Thesis'. The © notice is necessary to claim copyright in the countries signatory to the Universal Copyright Convention.

(Title)

.....

by

(author's name)

(a) Master's or Doctoral [(b) Thesis] to be inserted

Submitted in partial fulfilment of the requirements

for the award of

.....of Loughborough University

(date)

© by (author's name) (year)

### Appendix IV

Thesis Access Form (Academic Registry Template Shop)