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# Academic Regulations Research Awards

## Section 11

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# Section 11

## Research Awards

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# Section 11: Research Awards

## 11.1 Purpose

These Regulations cover all aspects of regulatory requirements for the research awards of the University. These include: Masters by Research (MRes), Master of Philosophy (MPhil), Doctor of Philosophy (PhD), Doctor of Philosophy by Existing Published Work (PhD) and all Professional Doctorates and Higher Doctorates. They provide clear, robust and effective regulatory guidance and set out conditions that apply to the research awards throughout the period of study. These Regulations should be read in conjunction with other regulations of the University and with the [Student Contract](#).

Research degrees are overseen by the Research Degrees Sub-Committee, or any succeeding body with powers delegated to it by Academic Board.

## 11.2 Research Awards

### 11.2.1 Research Awards of the University

The University makes the following awards to registered candidate who have successfully completed approved programmes of supervised research:

- Masters by Research (MRes)
- Master of Philosophy (MPhil)
- Doctor of Philosophy (PhD)
- Doctor of Philosophy in Creative Practice (PhD Creative Practice)
- Doctor of Education (EdD)
- Doctor of Engineering (DEng)
- Doctor of Engineering (EngD)
- Doctor of Business Administration (DBA)
- Doctor of Creative Arts (DCA)
- Doctor of Professional Practice (DProf)

### 11.2.2 Other Research Awards

The University also makes the following awards subject to the fulfilment of the specific requirements of the award:

- PhD by Existing Published work
- Higher Doctorates – LLD, DLitt, DSc, DTech

### 11.2.3 Field of Study

Programmes of research may be proposed in any field of study subject to the following requirements:

- That the proposed programme is capable of leading to scholarly research
- That it can be presented for assessment by appropriate examiners
- That a suitable supervisory team can be formed.

## 11.3 Research Awards: Requirements

### 11.3.1 Conditions of Award

An award of the University will be conferred when the following conditions are satisfied:

- a) Registration, Fees and Financial Liabilities  
The candidate is a registered student for an award and payment of all the appropriate tuition and other relevant fees and outstanding financial liabilities has been made.
- b) Completion of Programme  
The candidate has completed an approved programme of research.
- c) Recommendation for Award  
The examination outcome has been agreed by the examiners, and the award confirmed by the Chair of the Research Degrees Sub-Committee.

### 11.3.2 Masters by Research (MRes)

A Masters is awarded to a candidate who has investigated a topic using appropriate research methodology and has presented a satisfactory thesis. An oral examination may be required at the discretion of the examiners.

Candidates who achieve the Masters by Research degree, and who wish to undertake doctoral study, cannot re-use unadapted material from the earlier programme of study. They can, however, use the learning from it to develop doctoral level study.

### 11.3.3 Masters Titles

The title Masters by Research (MRes) is used for all subject areas.

#### **11.3.4 Masters: Certificate of Award**

The specification of the award of Masters by Research is shown on the Certificate of Award.

#### **11.3.5 Masters: Use of Designatory Letters**

Award holders may use the designatory letters with or without the mode of attaining the award.

#### **11.3.6 Master of Philosophy (MPhil)**

The degree of Master of Philosophy (MPhil) is awarded to a candidate who has satisfactorily completed, or been exempted from, an approved programme of research training; has investigated and evaluated, or critically studied, an appropriate topic demonstrating an understanding of research methods appropriate to the chosen field; and has presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

#### **11.3.7 Doctor of Philosophy (PhD)**

The degree of Doctor of Philosophy (PhD) is awarded to a candidate who has satisfactorily completed, or been exempted from, an approved programme of research training; has investigated or critically studied an appropriate topic resulting in a significant contribution to knowledge; and has presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

#### **11.3.8 Doctor of Philosophy in Creative Practice**

The degree of Doctor of Philosophy in Creative Practice (PhD Creative Practice) is awarded to a candidate who has satisfactorily completed, or been exempted from, an approved programme of research training; has investigated or critically studied an appropriate topic resulting in a significant contribution to knowledge; and has presented a satisfactory substantial body of creative work and a contextual thesis. The candidate is required to defend the thesis by oral examination.

#### **11.3.9 PhD by Existing Published Work**

The degree of Doctor of Philosophy (PhD) may also be awarded on the basis of existing published work. This may include the candidate's own original creative work. The work presented must demonstrate a systematic approach evidencing independent, critical and original aspects, with a significant contribution to knowledge; and must include an exegesis. The exegesis and existing published work will form the thesis which is presented for examination. The candidate is required to defend the exegesis and published work (the

thesis) by oral examination.

#### **11.3.10 Professional Doctorate**

A Professional Doctorate is awarded to a candidate who has satisfactorily completed an approved programme of research training and contextual study. The candidate will also have investigated or critically studied an approved topic or topics which make a significant contribution to practice and/or knowledge, and presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

Specific titles for professional doctorates are reserved for programmes of research and professional practice focused on those areas of study, and candidates will normally have appropriate professional experience working in these domains. Outside of these areas, the award will be Doctor of Professional Practice (DProf).

#### **11.3.11 Higher Doctorates**

The University awards Higher Doctorates to applicants who have undertaken work of high distinction, which has constituted an original and significant contribution to the advancement of knowledge, or its applications, or both.

Applications may be made for the following Higher Doctorates:

- Doctor of Laws (LLD)
- Doctor of Letters (DLitt)
- Doctor of Science (DSc)
- Doctor of Technology (DTech).

### **11.4 Co-operation With Other Organisations**

#### **11.4.1 Co-operation with Other Organisations**

The University encourages programmes of research that involve co-operation with industrial, commercial, professional or research organisations leading to one of its awards.

Such co-operation is undertaken with the intention of:

- Encouraging outward looking and relevant research
- Extending a research candidate's experience and perspectives
- Providing a wider context for the development of the research topic to be undertaken
- Benefiting the research of the co-operating organisation.

### **11.4.2 Co-operating Organisations**

Formal co-operation may be with one or more external bodies or institutions, each of which is referred to as a Co-operating Organisation.

### **11.4.3 Details of Agreement**

The establishment of such a co-operation shall specify:

- The resources and facilities available for a candidate
- The arrangements (if appropriate) for joint or other supervision
- Their commitment to support the candidate to submission, or other relevant guarantee.

Any agreement with a co-operating organisation(s) will be subject to the procedures identified in 'Section 15: Collaborations and Partnerships' of the University Academic Regulations.

Where collaborations relate to individual research degree students, the Research Degrees Sub-Committee has the authority to approve appropriate arrangements.

### **11.4.4 Academic Independence**

All proposed research programmes are considered for research award registration on their academic merits and without reference to the concerns or interests of any associated funding body.

## **11.5 Admission**

### **11.5.1 Admission & Entry Qualifications**

#### **11.5.1.1 Admission**

Admission of candidates for research awards will conform to the general Admission Regulations of the University, as appropriate, and to the specific provisions in respect of application and qualification for registration for research awards.

#### **11.5.1.2 Evidence of Qualifications**

All applicants will be required to provide satisfactory evidence of the qualifications or experience claimed. Falsification of such evidence will lead to the termination of

registration.

### **11.5.1.3 MRes, MPhil, PhD, PhD by Existing Published Work**

The normal entry qualifications for registration on to the degrees of MRes, MPhil or PhD, is an appropriate honours degree of a United Kingdom higher education institution; or one recognised by the University as equivalent.

### **11.5.1.4 Professional Doctorates**

Candidates for Professional Doctorates should normally have an appropriate honours degree of a United Kingdom higher education institution; and have had a minimum of three years of professional experience. Professional experience will be understood as practical experience within the relevant field of enquiry.

### **11.5.1.5 Non-standard Entry Qualifications**

An application made by someone other than those holding an appropriate entry qualification is considered on its merits. Evidence is required to demonstrate that the background knowledge is appropriate and that the candidate has the ability to carry out the research to the level required for that award.

Such an application is considered by the Chair of the Research Degrees Sub-Committee who will consider the recommendation in the context of consistency and fairness across the University and make a recommendation.

### **11.5.1.6 English Language Qualification**

If a candidate's first language is not English, the University will require evidence that the candidate has the necessary language skills to fulfil the requirements of the award.

The requirements for research degrees will be set by the Research Degrees Sub-Committee and published on the University website.

### **11.5.1.7 Transfer of Registration from another Institution**

An applicant wishing to transfer their registration from another institution in the United Kingdom must provide evidence:

- That the proposed programme of study has been accepted by that institution and when their registration commenced.



- The level at which it was accepted.
- Written explanation of why they wish to transfer.

Subject to the satisfactory provision of evidence, an applicant for transfer into the University will be presented to the Research Degrees Sub-Committee for approval. If successful, an applicant for transfer will normally be required to attend a progression meeting prior to registering for the target award of PhD, Professional Doctorate, MPhil or MRes.

Candidates whose programme of study was approved for the award of MPhil or MRes and who wish to register for a higher or alternative award with the University will be required to submit for Confirmation of Registration on to the higher / alternative award.

## **11.5.2 Consideration and Determination of Application**

### **11.5.2.1 Reference to relevant external legislation and policies**

The University requires all candidates to comply with all laws, legislation and policies appropriate to the research project and provide documentary evidence as appropriate.

Confirmation of compliance with the relevant legislation / policies must be forwarded to the Graduate School before any decision on admission can be made.

This requirement applies equally where the requirement to comply with any law, external legislation / policies emerges after registration.

### **11.5.2.2 Group Projects**

An applicant whose work forms part of a larger group project may apply to register for a research award subject to the following requirements:

- The project work to be undertaken by the applicant must be clearly defined, together with supervisory and technical assistance.
- The individual contributions must be clearly identified and be distinguishable at the examination.

### **11.5.2.3 Research Projects Substantially Undertaken Outside the University**

Applications may be made from persons proposing to work substantially outside the University or outside the United Kingdom provided that:

- The facilities are available to carry out the programme of research
- Arrangements for supervision can be made to provide for adequate and appropriate

contact between the candidate and the supervisor(s) based in the University.

#### **11.5.2.4 Decision on an Application**

The University will determine:

- Whether an offer of a place should be made to an applicant
- The level at which registration should take place (if relevant)
- Whether the applicant is exempt from the Research Training Programme.

The Graduate School will communicate the decision to the applicant.

### **11.6 Research Awards: Registration and fees**

#### **11.6.1 Registration of Candidates**

##### **11.6.1.1 Mode of Study**

A candidate may register on a full-time or part-time basis.

A candidate may seek approval from the Research Degrees Sub-Committee for a change in the mode of study at any point during the research programme. In considering an application to change mode of study, the Sub-Committee will take account of the suitability of the proposed mode of attendance for the candidate's research programme and visa status.

##### **11.6.1.2 Off Shore Study Option (MRes, MPhil, PhD, and Professional Doctorates)**

A candidate may register on a full-time or part-time basis. Opting for offshore study will allow a candidate to remain in their own country to study for their award whilst using agreed facilities within a specified and University-approved location (usually a place of education that the University has a pre-arranged agreement with).

A candidate opting for this mode of study will be expected to be in residence in Leeds for the Induction and for an agreed period throughout the programme of study. These periods will be used to establish a good working relationship with the supervisory team, undertake appropriate training and prepare for the key milestones. The candidate must attend the Viva Voce Examination in person at Leeds Beckett University.

### 11.6.1.3 Location of Study

Candidates will be expected to undertake their research at Leeds Beckett University unless they have the approval of the Research Degrees Sub-Committee to undertake research off shore or at a partner organisation. Students are expected to be on campus regularly, or as specified in their off shore or partner organisation agreement.

### 11.6.1.4 Periods of Registration

Registration commences from the date the candidate registers and enrolls as a research candidate at the University. The periods of registration (from first registration to submission of thesis for examination), are provided in the table below:

<b>Award</b>	<b>Expected</b>	<b>Maximum</b>
Masters by Research (full time)	1 year	1 year
Masters by Research (part time)	2 years	2 years
Master of Philosophy (full time)	2 years	3 years
Master of Philosophy (part time)	4 years	5 years
Doctor of Philosophy (full time)	3 years	4 years
Doctor of Philosophy (part time)	6 years	7 years
Doctor of Philosophy in Creative Practice (full time)	3 years	4 years
Doctor of Philosophy in Creative Practice (part time)	5 years	6 years
Professional Research Doctorate (part time)	4 years	5 years
PhD by Existing Published Works	1 year	2 years

The expected period of registration can be reduced by up to 6 months for both full-time and part-time candidates (with fees adjusted accordingly), with the support of the candidate's supervisory team and the prior approval of the Research Degrees Sub-Committee.

### 11.6.1.5 Duration of Study – Submission Prior to Expiry of Minimum Period of Registration

Candidates may exceptionally submit their thesis for examination prior to the expiry of the minimum period of registration, subject to the support of the supervisory team and the prior approval of the Research Degrees Sub-Committee.

### **11.6.1.6 Changes to a Candidate's Period of Registration**

Where a candidate changes their mode of study or transfers from one research award to another, their period of registration will be calculated on a pro-rata basis.

### **11.6.1.7 Candidates Transferring from Another Institution – Periods of Registration**

Where a candidate has commenced their period of registration with another institution, their period of registration will be calculated based on the date their registration commenced with the previous institution, unless the Research Degrees Sub-Committee specifies otherwise.

### **11.6.1.8 Duration of Study – Application to Exceed Maximum Period of Registration**

A candidate registered for a research award of the University may apply for permission to exceed the maximum period of registration only in exceptional circumstances. The Research Degrees Sub-Committee is authorised to agree an extension to a candidate's registration up to a maximum of 12 months.

A candidate must submit a request to extend their registration at least 3 months prior to the expiry of their maximum period of registration.

### **11.6.1.9 Externally-Funded Candidates – Duration of Study**

Where a candidate accepted for a research award of the University is funded by an external body, and that external body prescribes time limits for the completion of the award in question, the time limit set by the external body shall be the duration of study for the candidate.

In accepting the funding from the external body to study within the University, the candidate agrees to be bound by the time limits set by the funding body for the submission of the award for which funding is given.

### **11.6.1.10 Suspension of Registration**

In exceptional circumstances, the Research Degrees Sub-Committee may approve a request for suspension of registration for any research award where the candidate is prevented by ill-health or any other valid cause from making progress on their research.

The minimum period for a suspension is 2 months, and suspension will be granted in multiples of one month. Application for suspension is not normally permitted within the first 6 months of a programme of study nor during the writing-up period.

During any period of suspension, the candidate will be required to maintain regular contact with their Director of Studies, providing updated information (such as medical certificates) on their status and expected return date.

Any period of suspension will not count towards the candidate's overall period of registration.

#### **11.6.1.11 Withdrawal of Registration**

A candidate wishing to withdraw their registration from the University must inform the Graduate School of this intention in writing. The Graduate School should offer the candidate an exit interview in which the reasons for withdrawal will be discussed.

#### **11.6.1.12 Candidates Transferring to another institution**

Where a candidate seeks to transfer to another institution, the University will support the transfer, in line with the [Student Transfer Plan](#).

#### **11.6.1.13 Transfer of Registration**

If, through the course of their research, the candidate feels their research project may be suitable for an alternative award than the one which they originally registered for (a candidate wishing to transfer from MRes to MPhil or MPhil to PhD for example), they may seek to transfer their registration. Candidates are advised to seek the opinion, and advice of, their supervisory team before making a request to transfer their registration to an alternative award.

An application to transfer to an alternative award will be considered by the Research Degrees Sub-Committee who may arrange for the candidate to undertake the Transfer of Registration process. Candidates applying to transfer to an alternative award must be able to complete the requirements for the new award within the maximum period of study for the proposed award.

### **11.6.2 Fees for Research Candidates**

#### **11.6.2.1 Fees**

The payment of fees will be as prescribed by the appropriate University guidance and processes. Please see the [Fee Schedule and Liability Policy](#) for further information.

The candidate will be expected to re-enrol and pay fees on an annual basis, subject to the outcome of the annual progression process.

The candidate's registration and fee payment must be current at the time of examination.

### **11.6.2.2 Candidate Entitlement on Payment of Fees**

Payment of the required full-time or part-time fees entitles the research candidate to access the University's facilities and services. The candidate is entitled to receive supervision only during the period in which they pay the full fee for the appropriate mode of study.

### **11.6.2.3 Writing-up Fee – MPhil, PhD and all Professional Doctorates only**

A candidate permitted to register on to the writing-up fee by the Research Degrees Sub-Committee will not require, or receive, any supervision during the period in which they are paying the writing-up fee; but will be able to access the library and other learning facilities of the University.

The writing-up fee period will be a minimum of 2 months and a maximum period of 12 months which may not be extended.

### **11.6.2.4 Writing-up Fee and Periods of Registration**

A flat rate fee will be charged for the writing-up period. The fee is non-refundable.

Any period of writing-up will count towards the candidate's overall period of registration.

## **11.7 Supervision of Research**

### **11.7.1 Supervision of Research**

A research degree candidate is normally supervised by a Director of Studies and at least one other supervisor. In exceptional circumstances, an additional supervisor may be added to the supervisory team.

### **11.7.2 Appointment of Supervisory Team**

The supervisory team will be proposed by the relevant School with the relevant members of academic staff, during the process of consideration of the application.

The composition of the supervisory team is based on academic judgement and cannot be challenged by the candidate.

### **11.7.3 Supervisory Team: staff development**

All supervisors will be required by the University to engage in development of various kinds to

equip them to supervise candidates. New supervisors will participate in specified development activities arranged by the University to assure their competence in the role.

#### **11.7.4 Advisors**

An advisor or advisors may be proposed in addition to the Director of Studies and supervisor. The advisor would normally provide one or more of the following:

- A specialised knowledge of value to the research project
- Additional extensive experience of research award supervision
- An appropriate link with, or is in, an external organisation that will assist with the programme of research.

#### **11.7.5 Staff eligible to act as Research Supervisors**

The criteria for eligibility to act as a Research Supervisor will be determined and kept under review by the Research Degrees Sub-Committee.

To avoid potential conflicts of interest, real or perceived, a member of staff registered for a research degree, either internal or external to the University, should not act as a supervisor to another research degree candidate.

In exceptional circumstances the Research Degrees Sub-Committee has discretion to approve variance to these provisions.

#### **11.7.6 Change in Supervisory Arrangements**

Changes in supervisory arrangements are approved by the Research Degrees Sub-Committee.

### **11.8 Study and Engagement**

#### **11.8.1 Commencement of Study**

During the first stage of the research project, the research candidate will work with the supervisory team; refine the proposed project; and comply with any other relevant University procedures required for confirmation of registration.

The supervisory team will work with the candidate; assure themselves of the candidate's suitability to undertake the research and the feasibility of the proposed project; and ensure compliance with any other relevant procedures.

### **11.8.2 Engagement with the Supervisory Team**

Research candidates must engage regularly with their supervisory team. Formal supervisory meetings should take place at least monthly for full-time candidates, and at least every two months for part-time candidates. Individuals' engagement will be monitored in line with the [Academic Engagement Policy](#), and lack of satisfactory engagement can ultimately lead to the candidate being withdrawn from the research degree programme.

### **11.8.3 Ethical Approval of Research Programme**

The supervisors will determine the type and level of approval or authorisation the candidate's project is likely to require and whether the proposed project requires reference to the School Research Ethics Committee; or requires any other external approval.

A report on the ethical approval status of the research project must be included with the documentation for confirmation as defined by the confirmation of registration regulations for that award. Normally, university ethical approval should be in place prior to confirmation of registration, noting that external approval, if required, may take longer.

### **11.8.4 Health and Safety: Risk Assessment**

The supervisors, with the advice of the University Health and Safety Officers if appropriate, will determine whether the proposed project requires a risk assessment.

Where required, such a risk assessment must be carried out prior to confirmation of registration; and the record of the risk assessment and its outcomes included with the documentation for confirmation of registration.

### **11.8.5 Data Protection Act 2018**

Research candidates must make themselves aware of the provision of the Data Protection Act 2018, and how this impacts on their programme of study.

### **11.8.6 Intellectual Property Provisions**

Research candidates must ensure they are aware of the University Regulations with regards to intellectual property; by enrolling on to the University programme, candidates will confirm their compliance with these provisions.

### **11.8.7 Collaborating Institutions or Organisations**

The supervisors will ensure that, where required, a formal letter of support from a



collaborating institution or organisation, setting out the terms of the collaboration, is obtained by the candidate. This letter will be included with the documentation for confirmation of registration.

#### **11.8.8 Consideration of Reasonable Adjustments**

In the interests of ensuring compliance with relevant equality and diversity legislation, where a candidate is prevented through disability, or any other valid cause, from undertaking the processes relating to their research award in the standard way, the Research Degrees Sub-Committee will consider and approve any variation to the processes relating to that award. In doing so, the standards of the award must be maintained.

#### **11.8.9 Research Training Programme**

It is compulsory for a candidate registered for a research award to have successfully completed an approved research training programme before they are eligible to be examined for the research award, unless exemption has been agreed.

MRes candidates will be exempt from this requirement due to the nature of their award.

On account of the basis on which the submission will be made, a candidate for PhD by Existing Published Work is exempt from the requirement to participate in the University's Research Training Programme.

#### **11.8.10 Exemption from the Research Training Programme**

The Research Degrees Sub-Committee may, following an application from the supervisory team, exempt an applicant from the Research Training Programme.

In cases where a candidate has been exempted from the approved training this should be stated clearly on the offer letter to the applicant prior to them registering on their award.

#### **11.8.11 Research Misconduct and Unfair Practice**

The circumstances of a claim of Research Misconduct will be investigated in line with the provisions of the Policy and Procedures for Investigating Allegations of Misconduct in Research.

A candidate or member of staff studying towards a research award who is suspected of plagiarism, collusion or other forms of unfair practice may be investigated under the provision of Section 10 of the University Academic Regulations.

## **11.8.12 Extenuating Circumstances**

### **11.8.12.1 Fit to Sit/Submit Principle**

The Research Awards regulation in respect of Extenuating Circumstances is based on the principle of fit to sit/submit. The principle asserts that candidates who undertake an assessment or confirmation of registration process declare themselves fit to take that assessment or process; any claim for extenuating circumstances in relation to that assessment or process will not, normally, be considered.

### **11.8.12.2 Progression**

Extenuating circumstances which may have affected a candidate's progress should be drawn to the attention of the Research Degrees Sub-Committee in respect of decisions which may be made on any aspect of a candidate's progress including confirmation of registration and examination.

### **11.8.12.3 Early Notification**

Candidates should draw the attention of their supervisory team (or independent contact) to any circumstances which may have affected or be affecting the progress of their studies at the earliest opportunity. This will enable the supervisory team to take this into account in respect of the annual progression review.

### **11.8.12.4 Extenuating Circumstances - Examination and Outcomes**

Where the extenuating circumstances relate to the timing of the *viva voce* examination and / or any further examination (as relevant), the candidate must inform the Graduate School of these circumstances at the earliest possible opportunity so that arrangements can be made to postpone / re-schedule the viva-voce examination and/or any further examination.

Normally, no research award of the University may be conferred without the candidate successfully undertaking the relevant examination process for that award.

### **11.8.12.5 Research Degrees with Structured Learning**

Candidates undertaking Research Degree Awards with structured learning may submit their extenuating circumstances for consideration by a Mitigation Co-ordinator.

### **11.8.12.6 Consideration of Extenuating Circumstances**

- The Mitigation Co-ordinator may approve an extension up to 10 days.

- The Chair of the Research Degrees Sub-Committee or nominee may approve an extension up to 1 month.
- Request for extensions over 1 month must be present to the Research Degrees Sub-Committee to consider suspension of study.

The Research Degrees Sub-Committee may approve a change from the fixed weeks, in exceptional circumstances only. Any application for a change from the fixed weeks must be made at the earliest possible opportunity when the reasons for making such a request emerge.

## **11.9 Confirmation of Registration and Progression**

The following provisions apply to MPhil, PhD and Professional Doctorate candidates.

### **11.9.1 Progression**

A formal progression meeting can be called at any point where the Director of Studies has significant concerns about the academic progress of a research degree student. The format and outcomes for any *ad hoc* progression meetings will be as described below for Annual Progression.

### **11.9.2 Annual Progression**

The progress of all candidates will be reviewed annually through the Annual Progression process. The first Annual Progression Panel, which also serves as Confirmation of Registration, will meet within 12 months of the candidate's enrolment date with the University and prior to re-enrolment. The candidate's progress will be reviewed at least annually thereafter.

In the absence of such progress, the Progression Panel will take appropriate action which may include the requirement for the candidate to withdraw from their programme of study.

### **11.9.3 Confirmation of Registration**

The purpose of Confirmation of Registration (the first Annual Progression Panel) is to ensure:

- That the completion of the research project as described will realistically enable the candidate to achieve a research award of the University at the designated level
- The suitability of the candidate to pursue the research project at that level.

#### 11.9.4 Annual Progression: Process

The Annual Progression Process will take the following format:

- Annual Progression Panel is formed
- Candidate submits Annual Progression Form with any relevant supporting information (Director of Studies also completes the relevant section of this form)
- The candidate presents an overview of their work to date and outlines the progress made in a presentation to the Annual Progression Panel
- The Annual Progression Panel confirms outcome to the candidate
- Outcomes of the Annual Progression Process are reported to Research Degrees Sub-Committee.

#### 11.9.5 Annual Progression: Outcomes

The Confirmation of Registration (first Annual Progression Panel) will result in one of the following outcomes:

- Confirmation of registration for the award
- Confirmation of registration for a lesser award
- Termination of programme.

The following outcomes are available for subsequent Annual Progression Panels:

- Continue - The candidate is permitted to continue their studies
- Continue with Written Warning - The candidate is permitted to continue with their studies with a written warning regarding their lack of satisfactory progress which will be reviewed at an earlier additional progression point, as defined by the Panel
- Alternative Award - The candidate is not permitted to continue their studies on their current award but may be considered for registration on an alternative (MPhil to MRes) or lesser award (PhD to MPhil or MRes)
- Withdraw - The candidate is not permitted to continue their studies and is required to withdraw from their research programme.

#### 11.9.6 Annual Progression: Review of Written Warnings

Where the outcome of the Annual Progression Panel is to permit the candidate to continue with their studies with a written warning regarding the lack of satisfactory progress, this will be reviewed at an additional progression point as decided by the Panel. The date by which the review will take place will be clearly specified to the candidate. Where the candidate fails, by the review, to demonstrate satisfactory progress, the review Panel may withdraw the candidate or change their registration to an alternative or lower award.

## **11.10 Eligibility and Submission for Examination**

### **11.10.1 Eligibility for Examination**

#### **11.10.1.1 Research Training Programme – Research Awards**

Unless specifically exempted, a candidate registered for a Research Award of the University is required to follow an approved Research Training Programme before they are eligible to be examined for the research award.

#### **11.10.1.2 Research Training and Contextual Study – Professional Doctorate**

A candidate for the award of Professional Research Doctorate is not eligible to be examined until the approved programme of research training and contextual study specific to that award has been successfully completed.

#### **11.10.1.3 Confirmation of Completion of Research Training Programme**

Before examination for the registered award, the candidate must obtain written confirmation that the relevant research training programme and/or contextual study has been satisfactorily completed.

### **11.10.2 Submission for Examination**

#### **11.10.2.1 Submission at the Discretion of the Candidate**

Submission of the thesis for examination is at the sole discretion of the candidate. Although a candidate would be unwise to submit the thesis against the advice of the supervisors, it is their right to do so.

Candidates should not assume that a supervisor's agreement to the submission of the thesis guarantees the award of the degree.

#### **11.10.2.2 Mock Viva**

Any candidate registered on a research award of the University must be offered a mock viva. The outcome or advice received by the candidate as a result of this process does not guarantee receipt of the award.

#### **11.10.2.3 Compliance with University Requirements**

Is it the responsibility of the candidate to ensure prior to the examination that the

requirements of the relevant University Academic Regulations have been met, including the payment of fees, and that their registration is still current.

#### **11.10.2.4 Candidate's Declaration**

The candidate is required to confirm in writing that:

- The thesis has not been submitted for a comparable academic award
- The thesis is the candidate's own work.

Where work which has already been submitted for a degree or comparable award is included in the thesis, this should be declared.

The candidate's declaration must include a signature from their Director of Studies confirming that, so far as they are aware, the work was undertaken by the candidate. If the Director of Studies is unable to confirm this, any concerns will be outlined. Where appropriate, the Candidate's Declaration form will be presented to the Research Degrees Sub-Committee and any concerns raised by the Director of Studies may be investigated prior to the examination taking place.

Candidates should not assume that the Director of Studies signature guarantees the award of the degree.

#### **11.10.2.5 Format of the Thesis and Language of Submission**

The candidate is responsible for ensuring that the thesis is submitted in the appropriate format. All theses must be submitted in English.

#### **11.10.2.6 University Property**

The copies of the thesis submitted for examination remain the property of the University.

### **11.11 Confidentiality And Presentation Of Work**

#### **11.11.1 Confidentiality of Theses**

Where a candidate or the University wishes the thesis to remain confidential for a period of time after completion of the work, application for approval is normally made to the University at the time of registration or as soon as the need for confidentiality emerges. Application must be made to the Graduate School on the appropriate form.

The Research Degrees Sub-Committee normally only approves an application for confidentiality in order to enable a patent application to be lodged or to protect

commercially sensitive material. The maximum period of confidentiality is normally two years, although in exceptional circumstances the Research Degrees Sub-Committee may approve a longer period.

### 11.11.2 Form of Presentation

The form of presentation may be by:

- A written thesis; or
- A thesis that comprises other material accompanied by a written critical evaluation and contextualising overview of the process and product of the intellectual enquiry.

### 11.11.3 Creative Work

Candidates may propose a programme of work in which the candidate's own creative work forms a significant part of the intellectual enquiry where it is an integral part of the process and product. In such cases, the following are required:

a) Research programme

Such creative work shall be undertaken within and as part of an identified research programme.

b) Context

Such creative work must be clearly presented in relation to a written thesis or equivalent document which offers a critical evaluation or contextual overview of the process and product of the intellectual enquiry. This written component should not normally be less than 15,000 or more than 25,000 words as appropriate to the particular research programme.

c) Form of Submission, Methods of Assessment and Permanent Record

The form of the proposed submission and the proposed methods of assessment must be set out in the application for registration and be such that they meet the regulatory requirements for the award. Creative work submitted for examination must be documented through appropriate textual and photographic, video, CD-rom or DVD evidence including any artefacts or documentation integral to the creation of the work. Such documentation will provide a permanent archival record of the full submission. Where a web-based submission is made, a permanent archival record of the website on disk must be provided. Submissions in such a format may if appropriate integrate the written component (see 11.11.3 (b) above).

#### **11.11.4 Scholarly Editions**

Applicants may propose a programme of research of which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefact. In such cases the following are required:

- a) **Form of Submission**  
The application must show how the final work shall be submitted.
- b) **Commentary and Context**  
The resultant work to be examined shall include a substantial introduction and a critical commentary setting the text(s) in the relevant historical, theoretical and critical context.
- c) **Other Requirements**  
The thesis shall conform to the usual scholarly requirements and be of an appropriate length.

### **11.12 Examination Provisions**

#### **11.12.1 Examinations: General Provisions**

##### **11.12.1.1 Proper Conduct of Examinations**

The Research Degrees Sub-Committee has responsibility for ensuring that all examinations are conducted in accordance with University Regulations; and that all recommendations for awards are made in accordance with the University Academic Regulations.

##### **11.12.1.2 Action on Irregularities**

In any instance where the Research Degrees Sub-Committee is made aware of a failure to comply with all the procedures of the examination process or of any circumstances which may have adversely affected the examination process of a candidate, it may declare the examination null and void, and appoint new examiners.

##### **11.12.1.3 Research Degrees Sub-Committee**

The Research Degrees Sub-Committee is responsible for approving examination arrangements for all research degrees. Non-UK based examiners will not normally be



considered unless an exceptional rationale is made for their appointment.

#### **11.12.1.4 Authority to Approve an Award Decision**

The examiners will make a decision on the outcome of an examination which may include a recommendation for award.

Where a recommendation for an award of the University is made, whether following the successful completion of minor amendments, re-submission or any other circumstances, the Chair of the Research Degrees Sub-Committee will, on behalf of the Sub-Committee, consider and approve the recommendation for award prior to conferral.

In doing so, the Chair may inspect any relevant paperwork or information.

#### **11.12.1.5 Aegrotat and Posthumous Awards**

An aegrotat award may be conferred in exceptional circumstances, such as in cases where a student's ability to complete their studies is permanently compromised by severe illness. A recommendation for the award must be reached by an Examination Panel with due regard for evidence of an appropriate threshold standard of performance. Before a recommendation of an aegrotat award is made, the student (or their designate) must have signified a willingness to accept the award and an understanding that the acceptance of the award waives the right to future examination.

Research Awards may be awarded posthumously on the basis of Examiners' assessment of the research completed and written up.

### **11.12.2 Examiners**

#### **11.12.2.1 Number of Examiners**

A candidate is examined by at least two and normally not more than three examiners. One examiner shall be an internal examiner. Examiners should be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.

The supervisory team will propose suitable examiners for approval by the Research Degrees Sub-Committee.

#### **11.12.2.2 External Examiners**

At least one of the examiners shall be external to the University. External examiners are required to have substantial experience of examining research candidates to the level of the

award being examined. This is normally regarded as having undertaken at least three previous examinations in the field and at the level in question.

#### **11.12.2.3 External Examiners: Independence**

The external examiner is required to be independent both of the University and of the collaborating body (if any); and shall not have acted as the candidate's adviser or supervisor.

The Research Degrees Sub-Committee must also ensure that an external examiner is not approved so frequently that their familiarity with the University might prejudice objective judgement.

Former members of the University are not normally approved as external examiners until five years after the termination of their employment with the University.

#### **11.12.2.4 Requirement for Second External Examiner**

Where the candidate and the internal examiner are members of staff of the University at the time of submission of the thesis for examination, a second external examiner shall be appointed. This provision does not apply in respect of a candidate who is on a time-limited employment contract for example a research assistant or part time hourly paid lecturing staff.

Where other circumstances arise outside of those above, the chair of the Research Degrees Sub-Committee will make a final decision regarding whether the circumstances of the individual case dictate that a second external examiner is required.

#### **11.12.2.5 Internal Examiners**

An internal examiner may be:

- A member of staff of the University
- A former member of staff, employed during the period of registration
- A member of staff of any co-operating establishment concerned with the project.

#### **11.12.2.6 Ineligibility to act as Examiner**

No member of the candidate's supervisory team should be appointed as internal examiner for that candidate.

No candidate registered for a research award may act as an examiner.

### **11.12.2.7 Independent Chairs**

The Research Degrees Sub-Committee will appoint a non-examining Independent Chair for all viva-voce examinations for research awards of the University.

The Independent Chair will be appointed from a different school to the supervisory team.

### **11.12.2.8 Contact with Examiners: Prior to Examination**

A candidate shall have no formal contact with the examination team in relation to the thesis or examination process between the appointment of the examiner(s) and the conclusion of the examination process (including any reassessment). Any queries from the candidate will be directed to the Independent Chair.

## **11.13 Examination for Award of MRes**

### **11.13.1 Format of Examination**

Examination for Masters by Research awards is normally through consideration of the written thesis only.

#### **Meeting Between Examiners**

If, having completed the preliminary assessment reports, the examiners consider that the assessment process requires a meeting between the examiners, the Graduate School will arrange such a meeting.

### **11.13.2 Oral Examination**

The examiners may request an oral examination in addition to assessing the thesis. This may be particularly useful in determining the outcome of borderline cases. If the examiners require an oral examination, the examination process is not complete until the oral examination has taken place.

### **11.13.3 MRes Examination: Outcomes**

The examiners may make one of the following recommendations:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate receives the award subject to substantive amendments being made to

the thesis within a 1-3 month period. The examiners will be required to indicate the date by which the amendments are to be completed

- The candidate is permitted to re-submit for the award (within a 6 month period)

## **11.14 Examination Procedures for the Awards of MPhil, PhD and Professional Doctorate**

### **11.14.1 Format of Examination**

The examination for these research awards normally proceeds in two stages:

- The submission and preliminary assessment of a thesis
- An oral examination where the candidate is required to defend the thesis.

### **11.14.2 Preliminary Assessment Report**

Each examiner is required to read and examine the thesis and produce an independent preliminary assessment report on it. The Graduate School will make arrangements for the exchange of preliminary assessment reports between examiners.

### **11.14.3 Status of the Preliminary Assessment Report**

The preliminary assessment report is a preliminary assessment of the academic standard of the work only. The contents of the preliminary report are confidential to the examiners and do not carry the status of a final decision.

The Graduate School will retain this documentation for the purpose of assuring due process only; and the contents of the preliminary view will not be disclosed to any other person under normal circumstances.

### **11.14.4 MPhil, PhD, Professional Doctorate: Oral Examination**

A candidate is normally examined orally on the programme of work and on the field of study in which the programme lies. The oral examination is normally held in the United Kingdom and the candidate is expected to attend in person.

In exceptional circumstances, the Research Degrees Sub-Committee may approve an alternative form of examination.

### **11.14.5 Oral Examination: Timing**

The oral examination is normally arranged to take place within three months of the submission of the thesis.

#### **11.14.6 Oral Examination: Supervisors and Advisors**

Members of the supervisory team or an advisor may, with the consent of the candidate, attend the oral examination. They may be permitted to speak at the discretion of the examiners but they are required to withdraw prior to the deliberations of the examiners on the outcome of the examination.

#### **11.14.7 Examination Decisions**

Following the oral examination (and, if relevant, further examination), where the examiners are in agreement they complete the relevant joint decision paperwork.

The Research Degrees Sub-Committee will routinely review the paperwork produced following examinations to satisfy itself that due process has been followed and the decisions reached are sound.

In cases where the examiner's recommendation is to confer the award, the Chair of the Research Degrees Sub-Committee must sign to confirm this on behalf of the Committee.

#### **11.14.8 Available Outcomes**

The examiners may make one of the following recommendations:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate receives the award subject to substantive amendments being made to thesis within a 3-6 month period. The examiners will be required to indicate the date by which the amendments are to be completed
- The candidate be permitted to re-submit for the award, and be re-examined on the thesis with an oral examination (and/or further examination (as applicable) within a 12 month period)
- The candidate be permitted to re-submit for the award, and be re-examined on the thesis only (within a 6 month to 12 month period)
- (For PhD and Professional Doctorate) That the candidate has not achieved the standard of the award, but has satisfied the criteria for award of an MPhil. In this case the candidate may, after possible changes to format of the thesis to satisfy the terms of the regulations for the degree, be awarded the degree of MPhil (within a 6 month

period)

- (For MPhil examinations) That the candidate has not achieved the standard of the award of MPhil, and should be awarded the alternative award of MRes subject to confirmation that the thesis meets the requirements of the award (within a 3 month period)
- (For all examinations) That the candidate has not achieved the standard of the award, but should be offered the opportunity to re-submit to be assessed for the award of MPhil (PhD, or Professional Doctorate registrations) or MRes (MPhil registrations). In exceptional circumstances, a candidate who has not achieved the standard of the doctoral award may be offered the opportunity to re-submit to be assessed for the award of MRes.

#### **11.14.9 Cases where the Examiners are not in Agreement**

Where the examiners are not unanimous in respect of their final decision, each examiner must complete, and forward their individual recommendation to the Research Degrees Sub-Committee, in the required format. The individual cases must provide sufficiently detailed comments to enable the Committee to satisfy itself that due process has been followed.

#### **11.14.10 Course of Action Open to the University**

On receipt of the individual recommendations, the Research Degrees Sub-Committee may take one of the following courses of action:

- Accept a majority recommendation, providing that the majority recommendation includes at least one external examiner
- Accept the recommendation of the external examiner
- Appoint an additional external examiner.

#### **11.14.11 Additional External Examiner**

Where an additional external examiner is appointed, they are not informed of the recommendations of the other examiners.

The additional external examiner is required to provide an independent report on the thesis making any recommendation open to an examiner. For clarification, where an additional examiner is appointed following the requirement for the candidate to re-submit their thesis and/or be re-examined by oral examination, only the recommendations available to examiners at the reassessment stage will be available.

The additional external examiner may also conduct an oral examination. This may be in addition to any previous oral examination which may have taken place. In such cases, the

Independent Chair of any previous examination will also be present.

## **11.15 Re-examination of theses**

### **11.15.1 General Provisions**

#### **11.15.1.1 One Re-examination**

Where the examiners decide that the candidate should be re-examined, they will be permitted to be re-examined once only.

#### **11.15.1.2 Information to Candidates**

The examiners are required to provide the candidate with written guidance on any deficiencies of the first submission, which will be forwarded to the candidate with the result of the first examination. Receipt of this guidance does not of itself guarantee successful re-examination.

#### **11.15.1.3 Timescale for Re-examination**

Timescales in respect of re-examination commence from the date of the written notification from the Graduate School of the candidate's entitlement to re-submit.

All candidates will be re-examined at the earliest opportunity following the original examination and re-examination must take place within 12 months of the receipt of the written notification.

#### **11.15.1.4 Extension of the Timescale for Re-examination**

The Research Degrees Sub-Committee may approve an extension of this period in exceptional circumstances only.

#### **11.15.1.5 Responsibility of the Candidate**

It is the candidate's responsibility to re-submit the work in the appropriate format and within the required timescale.

#### **11.15.1.6 Re-examination Process**

The process for examination and determination of outcomes is the same as that for the initial examination, however the list of available decisions differ as outlined below.

### **11.15.2 Re-examination for the Awards of MPhil, PhD and Professional Doctorate**

The examiners may make one of the following recommendations:

- The candidate receives the award
- The candidate receives the awards subject to minor amendments being made to the thesis within a 1 month period
- (For PhD, Professional Doctorate) That the candidate has not achieved the standard of the award, and should be awarded the degree of MPhil, subject to the conditions for that award being met (within a 6 month period)
- (For MPhil examinations) That the candidate has not achieved the standard of the award of MPhil, and should be awarded the degree of MRes subject to the conditions for that award being met (within a 3 month periods)
- That the candidate has not achieved the standard of the award or that of a lesser or alternative award; and shall not receive an award.

### **11.15.3 Re-examination for the Award of MRes**

The examiners may make one of the following recommendations:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate shall not receive the award.

## **11.16 Recommendation for an Award of the University**

### **11.16.1 Recommendation for a Research Award of the University**

The Research Degrees Sub-Committee is the sole body empowered to approve the conferment of a research award of the University. The Chair of the Research Degrees Sub-Committee or their nominee has delegated authority to approve the conferment of a research award.

### **11.16.2 Confirmation of Completion of Minor Amendments**

Where the examiners have recommended that the candidate receives the award subject to minor amendments being made to the thesis, the examiners (internal and/or external) shall confirm to the Chair of the Research Degrees Sub-Committee that this has been completed satisfactorily.



### **11.16.3 Documentation Presented to the Chair of the Research Degrees Sub-Committee**

The Chair of the Research Degrees Sub-Committee may in exceptional circumstances inspect any relevant documentation. This would normally include the following:

- The paperwork relating to the formal decision of the examiners
- The candidate declaration in respect of the work
- (For PhD awards only) A loose copy of the abstract, table of contents and title page
- a copy of the thesis
- (If appropriate) Written confirmation that required minor amendments have been satisfactorily completed.

### **11.16.4 Formal Reporting of the Recommendation for an Award**

The Chair's approval will be presented to the next meeting of the Research Degrees Sub-Committee for formal recording of the conferment of the award to the candidate.

### **11.16.5 Date of Conferment**

The date of conferment of an award will be the date when the Chair of the Research Degrees Sub-Committee or their nominee confirms the examiners' recommendation to award the degree.

The certificate of award will be available to the candidate at the time of the next award ceremony following conferment of the award and the final thesis having been formally deposited with the University.

A candidate may elect to receive their award in absentia.

## **11.17 Submission of Final Thesis**

### **11.17.1 Post-Examination: Submission of Copies of Final Text to the University**

Following a recommendation of the award, the candidate shall submit to the Graduate School such copies of the final text of the thesis as may be required under the Academic Regulations. This will be the text endorsed for the conferment of the award by the Chair of the Research Degrees Sub-Committee.

### **11.17.2 Deposit in Library**

Following the award of the degree the Graduate School shall require the candidate to submit

one electronic copy of their thesis in the University Repository and one copy in the repository or library of any collaborating establishment.

In the case of research by creative work, the permanent archival record of the full submission (see Regulation 11.11.3 (c)) shall be submitted to the University Repository and a copy in the library or repository of any collaborating establishment.

### **11.17.3 Confidentiality: Restriction of Access**

Where the Research Degrees Sub-Committee has agreed to confidentiality, this precludes the thesis being made freely available in:

- Any Library or repository of the University
- The library or repository of any Collaborating Establishment
- The British Library (PhD theses only).

In such cases the thesis shall, immediately on completion of the programme of work:

- Be retained by the University on restricted access
- For a defined period of time, shall only be made available to those who were directly involved in the project.

## **11.18 Doctor of Philosophy by Existing Published Work**

### **11.18.1 General Requirements**

#### **11.18.1.1 General Provisions**

A candidate for the award of PhD by Existing Published Work will be covered by the standard University Academic Regulations and procedures for research awards with the following exceptions / additions.

A candidate may submit for the degree of PhD by Existing Published Work in any field of study. Published Work includes creative work where this is an integral part of the process and product.

#### **11.18.1.2 General Requirements**

Published Work may be submitted for the award of PhD by Existing Published Work providing that:

- The submitted works constitute a sufficient, coherent programme of published peer-

- reviewed research, as opposed to a series of unconnected works
- The creative work has been placed in the public domain and underpins a coherent programme of research
- The University is able to provide appropriate advisor in the field of study.

### 11.18.1.3 Eligibility

The award of PhD by Existing Published Work is open to:

- All members of staff contracted to the University who have completed the probation period, graduates of the University, former academic staff and honorary academics.
- All candidates are normally expected to have at least five years relevant experience and to have conducted research at postgraduate level prior to application.

The body of submitted published work must be available in the public domain, normally within the five year period prior to application, and:

- constitute a sufficient, coherent programme of published peer-reviewed research, as opposed to a series of unconnected works
- for professional practice and creative work, underpins a coherent programme of research should be comparable to a PhD thesis in terms of quantity, quality and level of research - equivalent to that of a traditional PhD candidate who has reached the beginning of the write-up stage.

### 11.18.1.4 Research Standing

The PhD by Existing Published Work is primarily intended as an alternative route to the award of PhD in which recognition is given to the contribution of established researchers who have a substantial research and publication record and have made a contribution to the field of study commensurate with that of a PhD thesis. It is normally expected that the submission will demonstrate original work which has extended the forefront of the discipline in question.

Creative work is expected to be a substantive corpus of original creative work which extends the forefront of the discipline, and in which intellectual enquiry is shown to be an integral part of the process and product.

It is normally expected that the works submitted by a candidate form part of a substantial record of publication.

#### **11.18.1.5 Indicative Scope of Submission**

As an indication of what would be sufficient, candidates would be expected to submit at least six distinct, substantial refereed journal articles or equivalent (for example chapters in edited collections or selected chapters from wholly authored publications) from an extensive portfolio of publications. These articles and the accompanying exegesis (see below) are expected to approximately equate to the written work expected of more conventional doctoral dissertations in similar subject areas. This number should be increased appropriately where articles of multiple authorship are submitted, and authors will be expected to state the nature and quantity of their contribution to any shared publication. It is expected that some of the articles submitted will be single authored.

As an indication of what would be expected for submissions relying on creative work, candidates would normally be expected to submit a significant corpus of work which represents an equivalent depth and breadth of enquiry to that of a PhD. This may include original words, or, where necessary, their representation through other means.

#### **11.18.1.6 Candidate's Declaration**

Normally, a candidate must not have submitted any of the publications listed in this application for any other award. A declaration to this effect must be submitted by the candidate, both at the time of application for registration and with the final submission.

Any exception to this provision must be agreed by the Research Degrees Sub-Committee as part of the admission process.

#### **11.18.1.7 Language of Submission**

The published works and exegesis should be presented in English.

#### **11.18.1.8 Requirements in Relation to Publications**

A work is normally regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and is available to the general public. This will normally require that the works are registered with an ISSN/ISBN numbers and therefore in the public domain.

### **11.18.2 Application Process**

#### **11.18.2.1 Application Process**

The process followed is that set out in the Academic Regulations Section 11.5, with the

following additions.

#### **11.18.2.2 Information Required on Application**

Each applicant should provide the following information with their application:

- A statement of not more than 1,500 words which identifies in outline how the proposed submission shows work at the forefront of the discipline; and outlines the rationale for the cohesion of the proposed works
- A full citation and short abstract of 50 words for each submission/output. Where there are joint publications the applicant must state the nature and quantity of their contribution
- A copy of the published works which the candidate proposes to submit
- A Curriculum Vitae
- Details of two academic referees.

#### **11.18.2.3 Assessment of applications**

Applications for this award will be considered initially by a Review Panel on behalf of the University Research Degrees Sub- Committee.

#### **11.18.2.4 Purpose**

The purpose of these provisions is to ensure that the completion of the research project as described will realistically enable the candidate to achieve the award of PhD by Existing Published Work.

The candidate should provide the Review Panel with sufficient material for the Panel to be able to consider:

- The coherence of the submission
- The extent to which the proposed submission for the award demonstrates work which is original and has extended the forefront of the discipline in question
- The extent to which the proposed submission for the award is commensurate with that of a PhD.

#### **11.18.2.5 Interview Stage**

A formal and rigorous interview of the Candidate by a Review Panel comprising selected members of the Research Degrees Sub-Committee will be held. The candidate must attend in person. The Panel must satisfy itself that the published work is significant and the level of the individual's contribution justifies the registration for the award of the degree.

### **11.18.2.6 Format of the Exegesis**

The candidate is responsible for ensuring that the format of the submission is in accordance with the University Academic Regulations.

### **11.18.3 Requirements for Submission**

#### **11.18.3.1 Contents of Submission**

A candidate is required to submit copies of the published works accompanied by an exegesis which demonstrates how these works taken together constitutes a coherent piece of research which makes a significant contribution to knowledge.

#### **11.18.3.2 Requirements in Relation to Publications**

A work is normally regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and is available to the general public. This will normally require that the works are registered with ISSN/ISBN numbers and therefore in the public domain.

#### **11.18.3.3 Collaborative Research**

Where any work submitted for the award has been carried out in collaboration with others, a candidate must include within the Candidate's Submission a statement clearly setting out the relative input of the contributing/collaborating parties. This statement will also have to be included with the final submission for the award. The University reserves the right to consult with any of the co-authors or collaborators in respect of this statement.

### **11.18.4 The Examination Process**

#### **11.18.4.1 The Examination Process: Overview**

The examination for the degree of PhD by Existing Published Work is in two stages:

- The submission and preliminary assessment of the published work and accompanying exegesis
- Defence of the submission by oral examination

#### **11.18.4.2 Assessment of the Submission**

In examining the candidate, the examiners must determine whether:

- The submission demonstrates that the candidate has produced work which is commensurate with the requirements for the PhD thesis in the chosen field.
- The submission demonstrates original research and independent critical thinking which has extended the forefront of knowledge in the discipline in question.
- The submission demonstrates that the candidate has made a systematic and coherent study within a single or closely related field(s) and has made a distinctive contribution to knowledge.
- The candidate has demonstrated an appropriate level of critical analysis and reflection on the research undertaken.

#### **11.18.4.3 Available Decisions**

Following consideration of the written submission and the oral examination, the examiners may make one of the following decisions:

- The candidate receives the award.
- The candidate receives the award subject to minor amendments being made to the exegesis within a 1 month period.
- The candidate receives the award subject to substantive amendments being made to thesis within a 3-6 month period. The examiners will be required to indicate the date by which the amendments are to be completed.
- The candidate be permitted to re-submit for the award, and be re-examined on the exegesis only without the need for an oral examination.
- The candidate be permitted to re-submit for the award and be re-examined by oral examination only without the need to re-submit the exegesis.
- The candidate be permitted to re-submit for the award, and be re-examined on the exegesis with an oral examination. This recommendation may include advice to the candidate to include further published work in the portfolio.

#### **11.18.4.4 Additional Material in Portfolio**

Where the examiners consider that the overall submission would not meet the requirements for a PhD on account of the volume or weight of the published works themselves, the examiners may recommend that re-submission should include a further paper or chapter, which may already be published, or about to be published.

#### **11.18.4.5 Re-examination Outcomes**

The examiners may make one of the following decisions:

- The candidate receives the award.

- The candidate receives the award subject to minor amendments being made to the exegesis within a 1 month period.
- That the candidate has not achieved the standard of the award

#### **11.18.5 Final Submission**

The final submission is the finished submission after any amendments have been undertaken and the award has been conferred.

One copy must be permanently bound in its final form according to the format detailed in the University Academic Regulations for Research Awards. A further copy of the abstract, title and contents page is also required for the British Library records.

The final form must be such as to provide for a permanent record of any creative work considered for the award. This should be bound, where practicable, with the written component.

### **11.19 Higher Doctorates**

#### **11.19.1 Higher Doctorates: General Provisions**

##### **11.19.1.1 Award of Higher Doctorates**

The University awards Higher Doctorates to those who have contributed works of high distinction.

##### **11.19.1.2 Consideration of Applications**

The University Research and Enterprise Committee considers all applications for Higher Doctorates.

#### **11.19.2 Applicants**

##### **11.19.2.1 Applicants**

Applications for a Higher Doctorate may normally be considered from persons fulfilling the requirements below.

##### **11.19.2.2 First Degree**

Holders of at least seven years standing, of a first degree awarded by an institution of Higher Education in the United Kingdom or a qualification of equivalent standing.



### **11.19.2.3 Higher Degree**

Holders of at least four years standing, of a research degree by an institution of Higher Education in the United Kingdom or of a qualification of equivalent standing.

### **11.19.3 Applications**

#### **11.19.3.1 Eligibility**

The award is open to all members of staff contracted to our University, graduates of our University, former academic staff and honorary academics.

#### **11.19.3.2 Criteria for Consideration**

Applicants are required to demonstrate that they have undertaken work of a high distinction, which has constituted an original and significant contribution to the advancement of knowledge, or its application, or both.

The application should demonstrate that the applicant is a leading authority in their field or area of study.

#### **11.19.3.3 Submission to the University**

The applicant should submit three copies of the work on which the application is based to the Graduate School.

#### **11.19.3.4 Form of Submission**

The submission may take the form of:

- books
- contributions to journals
- patent specifications
- reports
- conference proceedings
- specification and design studies

The submission may also include other relevant evidence of original work.

#### **11.19.3.5 Presentation of Submission**

The submission, other than books, may be in one, or more, hardback folders, or be bound.

#### **11.19.3.6 Title Page**

Each book or folder shall contain a title page, which includes:

- the name of the applicant with designatory letters
- the subject/area of the bulk of the work
- the list of contents
- the name of the degree for which application is being made

#### **11.19.3.7 Submission for any other Academic Award**

The applicant is required to state which part of the submission, if any, has been submitted for another academic award.

#### **11.19.3.8 Applicant's Statement**

The applicant is required to provide three copies of the following:

- a) Nature and significance of the work  
A statement of not more than 2,000 words, setting out the applicant's view as to the nature and significance of the work submitted and highlighting the progression of the work and of any inter-relationships.
- b) Personal contribution  
A full statement of the extent of the applicant's contribution to the work(s) submitted and detailing joint authorship or other types of collaboration.

#### **11.19.3.9 English Language**

The contents of the submission will be English.

#### **11.19.3.10 Fees**

The applicant is responsible for the payment of fees for each stage of the assessment.

## **11.19.4 Assessment of the Submission**

### **11.19.4.1 Process of Assessment**

The assessment of the submission consists of two stages which are set out below.

### **11.19.4.2 Assessment Panel within the University**

Preliminary consideration of the submission is undertaken by an Assessment Panel established by the University Research and Enterprise Committee. The Assessment Panel is required to ascertain whether a prima facie case exists for proceeding to a formal examination of the submission.

The panel will comprise of four members, one of whom will be the Chair of the University Research and Enterprise Committee. The Chair of the University Research and Enterprise Committee will act as the Chair of the Assessment Panel.

All members of the Assessment panel will have extensive research experience.

### **11.19.4.3 External Examination**

If the Assessment Panel determines that the submission be formally examined, consideration of the submission will be undertaken by two external examiners, wholly independent of the University and the applicant.

The examiners will be appointed by the University Research and Enterprise Committee of Academic Board.

Each examiner is required to make an independent report to the University Research and Enterprise Committee.

### **11.19.4.4 Action in Case of Disagreement**

In the case of disagreement between the examiners the University Research and Enterprise Committee may appoint a third examiner and will accept a majority decision.

## **11.19.5 Decision on an Award**

### **11.19.5.1 University Research and Enterprise Committee**

The University Research and Enterprise Committee will make a decision on the report and recommendation(s) of the examiners in respect of the candidate.

### **11.19.5.2 Confirmation of the Degree**

The power to confirm the degree rests with the Academic Board of the University.

## **11.20 Appeal Provisions**

### **11.20.1 Regulations and Procedures for Appeal**

The regulations and procedures governing the submission of an appeal are as found in Section 9 of the University Academic Regulations.

### **11.20.2 Application**

These regulations apply to any candidate appeal in respect of the following:

- Transfer of Registration
- Registration for an alternate award
- The outcomes of the Annual Progression Panel, including the Confirmation of Registration
- The examiners' decision in respect of a research award of the University.

### **11.20.3 Academic Judgement**

Appeals on the grounds of academic judgement are not permitted grounds of appeal under these regulations.