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## Senate Regulation 9: Regulations governing Research Degree Programmes

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### General

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

### Conflicts of Interest

- 9.3 Conflicts of interest are where there exists or appears to exist situations such that an independent observer might reasonably question whether the professional actions or decisions of an individual have been influenced by their own interests.
- 9.4 Research students and all others involved in research student support should understand the potential for conflicts of interest and must take appropriate measures to avoid situations which could give rise to a conflict of interest or the appearance of a conflict of interest.
- 9.5 The Head of Department or their nominee shall be responsible for ensuring that initial arrangements for admission, supervision, progress reviews, and examination do not give rise to an actual or a reasonably perceived conflict of interest.
- 9.6 Research students and all others involved in research student support must disclose any circumstances that might reasonably give rise to the perception of a conflict of interest. Apparent or perceived conflicts of interest can be as damaging as actual conflicts of interest. There is no definitive list of situations where a conflict of interest may arise but common examples involve personal and financial relationships. Research students and all others involved in research student support must disclose any circumstances where they are uncertain whether these constitute a conflict of interest.
- 9.7 The disclosure should be normally made at the time the conflict first arises or at the time it is first recognised that a conflict might be perceived. The disclosure should be to the Head of Department or their nominee. If the Head of Department or their nominee has an interest in the matter to be disclosed, the disclosure must be made to the person at the next higher level of authority.
- 9.8 When notified of a conflict of interest, the Head of Department or their nominee must take appropriate steps to deal with the issue.

### Admission and Selection

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

### General Entry Requirement

- 9.10 The minimum entry requirement for a research degree programme shall be an upper second class honours degree, or an equivalent overseas qualification, in a relevant subject. In certain disciplines applicants shall be additionally required to have a Master's degree at an appropriate level in a relevant subject or appropriate professional experience.
- 9.11 If the applicant does not have the above qualifications, the Department may make a special case for admission based on one or more of the following criteria:

1. other qualifications held
2. training and experience
3. published works
4. upper second class strengths demonstrated in relevant modules of first degree

Special cases for admission to a research degree programme shall be subject to approval from the Dean of the Doctoral College.

9.12 Applicants for the degree of MD must be:

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

Exceptionally, the Senate may waive the requirement that the applicant shall be a graduate in medicine of a university. If this requirement is waived the applicant shall be required to hold a qualification recognised for registration by the General Medical Council of the United Kingdom obtained at least five years previously and, at the time of application, be a member of the University's academic staff or otherwise engaged in appropriate clinical or scientific work within the Leicestershire area or in any hospital associated with the University's School of Medicine.

### **English Language Entry Requirement**

9.13 Applicants for a research degree programme must satisfy the English language requirement.

9.14 Applicants shall be deemed to have satisfied the English language entry requirement if they are:

1. a national of, and have completed secondary or tertiary education where the medium of instruction was English in, one or more of the countries specified in Senate Regulation One, 1.12  
or
2. a national of a country other than those specified in 1.12 but who has completed in one or more of those specified countries their secondary education in the national qualification, and/or two years of Bachelors level education, and/or a higher degree, where the medium of instruction was English and provided that no more than three years has elapsed between the date they completed their qualification and the intended start date of research degree programme.

9.15 All other applicants for a research degree programme shall be required to provide evidence that they have successfully completed:

1. within a period of no more than two years from the intended start date of the research degree programme one of the Secure English Language Tests specified in 9.16 at the level specified for the subject
  2. one or more of the qualifications specified in Senate Regulation One, 1.14 at a level equivalent to the relevant Secure English Language Test score specified in 9.16.
- 9.16 Applicants seeking to satisfy the English language entry requirement on the basis of the International English Language Testing System (Academic Version) or Pearson Test of English (Academic Version) must have achieved at least the minimum specified overall and component scores:
1. Band A programmes shall include:
    - a. the degree of PhD or MPhil in the following Departments:  
Chemistry  
Engineering  
Geography Geology and the Environment (Geology)  
Mathematics  
Informatics  
Physics and Astronomy
    - b. applicants for Band A programmes shall be deemed to have satisfied the English language requirement if they have achieved
      - i. a minimum score of 6.0 (IELTS) or 80 (TOEFL) or 56 (PTE) overall  
with
      - ii. a minimum score of 5.5 (IELTS) or 20 (TOEFL) or 51 (PTE) in each component
    - c. applicants for Band A programmes who have not met the normal requirements may be made an offer of admission to the research degree programme that is conditional on the successful completion of the University's English language pre-sessional course D and/or E at the appropriate level
  2. Band B programmes shall include:
    - a. the degree of MD, PsyD, EngD, or DSocSci
    - b. the degree of PhD or MPhil in the following Schools and Departments  
Archaeology and Ancient History  
Arts (Modern Languages)  
Arts (History of Art and Film)  
Business (Management)  
Business (Economics)  
Cancer Studies  
Cardiovascular Sciences  
Criminology  
Geography Geology and the Environment (Geography)  
Genetics  
History, Politics and International Relations  
Respiratory Sciences  
Media, Communication and Sociology

Medical Education

Molecular and Cell Biology

Museum Studies

Neuroscience, Psychology and Behaviour

- c. Applicants for Band B programmes shall be deemed to have satisfied the English language requirement if they have achieved
    - i. a minimum score of 6.5 (IELTS) or 90 (TOEFL) or 61 (PTE) overall  
with
    - ii. a minimum score of 5.5 (IELTS) or 20 (TOEFL) or 51 (PTE) in each component.
  - d. applicants for Band B programmes who have not met the normal requirements may be made an offer of admission to the research degree programme that is conditional on the successful completion of the University's English language pre-sessional course D and/or E at the appropriate level.
3. Band C programmes shall include:
- a. The degree of EdD
  - b. the degree of PhD or MPhil in the following Schools and Departments
- Arts (English)
- Education
- Health Sciences
- Law
- b. applicants for Band C programmes shall be deemed to have satisfied the English language requirement if they have achieved
    - i. a minimum score of 7.0 (IELTS) or 100 (TOEFL) or 67 (PTE) overall  
with
    - ii. a minimum score of 6.0 (IELTS) or 20 (TOEFL) or 56 (PTE) in each component
  - c. applicants for Band C programmes who have not met the normal requirements may be made an offer of admission to the research degree programme that is conditional on the successful completion of the University's English language pre-sessional course D and/or E at the appropriate level.
4. Band D programmes shall include:
- a. the degree of PhD or MPhil in the following Departments
- None at this time
- c. applicants for Band D programmes shall be deemed to have satisfied the English language requirement if they have achieved
    - i. a minimum score of 7.5 (IELTS) or 110 (TOEFL) or 72 (PTE) overall  
with
    - ii. a minimum score of 6.5 (IELTS) or 22 (TOEFL) or 61 (PTE) in each component
  - c. applicants for Band D programmes who have not met the normal requirements shall not be able to satisfy the English language requirement on the basis of successful completion of an English language pre-sessional course at the University.
5. Band E programmes shall include:

- a. the degree of DClInPsy
- b. applicants for Band E programmes shall be deemed to have satisfied the English language requirement if they have achieved
  - i. a minimum score of 8.0 (IELTS) or 115 (TOEFL) or 76 (PTE) overall
  - with
  - ii. a minimum score of 7.5 (IELTS) or 26 (TOEFL) or 72 (PTE) in each component
- d. applicants for Band E programmes who have not met the normal requirements shall not be able to satisfy the English language requirement on the basis of successful completion of an English language pre-session course at the University.

9.17 If there is any doubt about the applicant's English language ability, the University may require the applicant to achieve a satisfactory score in a recognised English language test or to pass a test of competence set and marked by the English Language Teaching Unit.

9.18 Applicants intending to register for a full-time research degree programme may be required to attend English language classes as a pre-condition of registration and/or to attend such classes alongside the research degree programme.

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

9.19 Accreditation of prior learning is the term used for the recognition of academic achievement prior to an applicant's admission to a research degree programme at the University.

9.20 If appropriate the Department may recommend that an applicant who has completed a period of research degree registration at another university – but who received no academic qualification for this – should receive equivalent registration credit. Such credit shall normally be for a maximum of one year (full-time) or two years (part-time) against the relevant registration period at the University. The accreditation of prior academic achievement shall be subject to approval from the Dean of the Doctoral College.

9.21 The applicant shall be responsible for applying for recognition of prior academic achievement and for providing all required evidence at the time of application.

#### **Admission Decisions**

9.22 An assessment shall be made of the applicant's suitability for the research degree programme. That assessment shall normally be based on:

1. the applicant's qualifications and preparedness for research degree level study
2. the applicant's personal motivation and likely ability to complete the research degree within the specified maximum registration period
3. the availability of an appropriate pre-determined research project or the applicant's ability to provide a research proposal which gives an adequate focus to, and demonstrates the applicant's knowledge of, the proposed area of research
4. the availability of appropriate supervisory capacity and material resources
5. any professional requirements associated with the programme.

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

9.23 The applicant shall normally be interviewed before they are permitted to register for a research degree programme and the interview shall normally take place before an offer of admission is made. The Department shall be responsible for interviewing applicants. Interviews shall normally be conducted in

person. If that is not possible – for example, where the applicant is not based in the United Kingdom – the interview may be conducted by any appropriate means of communication.

- 9.24 A decision to make an offer of admission to the degree of PhD, DSocSci, EdD, EngD, PsyD, or MPhil must be endorsed by two members of the Department’s academic staff – normally the proposed first supervisor and the Postgraduate Research Tutor or other member of the programme team. Admissions decisions for the degree of MD must be endorsed by the MD Degree Board of Studies. Admissions decisions for the degree of DClInPsy must be endorsed by two academic members of the DClInPsy programme team.
- 9.25 A decision to make an offer of admission to a research degree programme must not be made by staff who have or have had a close personal or professional relationship with the applicant or the applicant’s immediate family.
- 9.26 A decision to make an offer of admission to a research degree programme shall be made by staff who have received training and guidance in the selection and admission of research degree applicants. The Head of Department shall be responsible for ensuring that staff attend such training as is required.
- 9.27 The applicant may register for the degree of PhD under a split-site arrangement – that is, an arrangement in which the research student shall spend part of the registration period based at another university or research institution. The period based away from the University shall normally be at least twelve months in duration and no more than eighteen months in duration. If such split-site registration is not under a formally agreed collaborative arrangement between the University and the other institution, the prior approval of the Dean of the Doctoral College shall be required before an offer of admission is made.
- 9.28 The applicant may register for the degree of PhD or MPhil under a practice based arrangement – that is, an arrangement in which the research student shall submit for examination a thesis that comprises both a critical/reflective component and a practice component.
- 9.29 The formal offer of admission to the degree of PhD, MD, DClInPsy, DSocSci, EdD, EngD, PsyD, or MPhil must be made by the Admissions Office.
- 9.30 The offer of admission to a research degree programme may, with the approval of the University, be deferred for a period of up to twelve months. The offer of admission shall be withdrawn if the applicant does not register for the research degree programme within twelve months of the start date specified in the offer letter. The University may make a further offer of admission subject to successful re-application.

### **Registration**

- 9.31 The research student shall be required to complete a registration process when they commence the research degree programme and shall be formally admitted to the University as a registered student only on satisfactory completion of this process.
- 9.32 The research student shall be required as a condition of registration to abide by the Senate Regulations and all other regulations and procedures approved and amended from time to time by the University throughout the period of the research degree programme.

### **Initial Registration**

- 9.33 The research student shall commence registration at an appropriate date with the agreement of the Department.
- 9.34 Once the research student has completed the registration process the initial date of registration cannot be amended.
- 9.35 On completion of the registration process the research student shall receive a card of membership of the University. When on campus the research student must carry their student card with them at all

times and must produce it on request for inspection by any member of the University's staff or official of the Students' Union.

- 9.36 The use of the student card is personal to the individual to whom it is issued and the research student must not allow it to be used by another person, whether a registered student of the University or not. The Doctoral College Office must be notified if the card is lost or stolen.

### **Research Area**

- 9.37 Research students registered for the degree of PhD, MD, PsyD, or MPhil must as soon as possible following initial registration agree with the supervisory team the specific research question(s) to be addressed by the thesis together with a viable research plan for delivering the thesis.
- 9.38 In some cases, the specific research question(s) may be pre-determined. In other cases, agreement on the research question(s) should follow consultation between the research student and the supervisory team; this consultation may begin before an offer of admission has been made and may continue beyond the date of initial registration. Where such consultation is needed, the research question(s) shall normally be agreed within six months of initial registration (MD, PsyD, or full-time PhD or MPhil) or twelve months of initial registration (part-time PhD or MPhil).
- 9.39 Research students registered for the degree of PhD, MD, PsyD, or MPhil must have agreed the research question(s) and research plan by the time the research student undertakes the probation review. The supervisory team must inform the Head of Department if there are any concerns that this may not be possible.
- 9.40 Research students registered for other doctoral degree programmes shall develop and agree in accordance with the programme requirements the specific research question(s) to be addressed by the thesis together with a viable research plan for delivering the thesis. In many cases the specific research question(s) and research plan shall be developed through the assessed components of the programme.
- 9.41 Research students registered for the degree of PhD or MPhil and who will submit a practice based thesis shall normally have agreed the format of the practice component with the supervisory team within six months (full-time) or twelve months (part-time) of initial registration. The format for the practice component must be agreed by the time the research student undertakes the probation review. The supervisory team must inform the Head of Department if there are any concerns that this may not be possible.

### **Address and Residence**

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

### **International Student Visa Requirements**

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

### **Annual Re-Registration**

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

### **Registration Periods**

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

9.48 The registration periods for the degree of PhD, MD, or MPhil shall be:

|       |           | Minimum Period<br>(Years) | Maximum Period<br>(Years) |
|-------|-----------|---------------------------|---------------------------|
| PhD   | Full-Time | 2.0                       | 4.0                       |
|       | Part Time | 4.0                       | 7.0                       |
| MD    | Full-Time | 2.0                       | 4.0                       |
|       | Part Time | 2.0                       | 5.0                       |
| MPhil | Full-Time | 1.0                       | 2.0                       |
|       | Part Time | 2.0                       | 4.0                       |

9.49 The registration periods for the degree of PysD, DCLinPsy, DSocSci, EdD, EngD shall be:

|          |           | Minimum Period (Years) | Maximum Period (Years) |
|----------|-----------|------------------------|------------------------|
| PsyD     | Part-Time | 2.0                    | 5.0                    |
| DCLinPsy | Full-Time | 3.0                    | 3.0                    |
| DSocSci  | Part-Time | 4.0                    | 6.0                    |
| EdD      | Part-Time | 3.0                    | 6.0                    |
| EngD     | Full-Time | 4.0                    | 5.0                    |

9.50 Research students shall be required to maintain registration for at least the specified minimum period.

9.51 Research students shall not normally maintain registration beyond the specified maximum period. Research students who have experienced extenuating circumstances which are accepted by the University may be given an extension of registration beyond the specified maximum period.

9.52 Requests for an extension of registration require the support of the Department and shall be subject to approval from the Dean of the Doctoral College or, in the case of research students registered for the degree of MD, the MD Degree Board of Studies. The research student's registration shall not normally be extended for a period of more than six months. The research student must submit the thesis for examination by the end of the extension period. Standard extension fees shall be payable for the approved extension period.

#### **Writing-Up Periods**

9.53 Research students registered for the degree of PhD, MD, or MPhil shall be permitted to register for a writing-up period of no more than twelve months from the start of their final year of maximum registration.



- 9.54 The writing-up period shall count towards the specified maximum registration period. The research student shall not continue the writing-up period beyond the specified maximum registration period.
- 9.55 Half of the standard writing-up fee shall be payable for writing-up periods up to six months in length; the full writing-up fee shall be payable for writing-up periods up to twelve months in length. Research students who have completed a twelve-month writing-up period and have been given an extension of registration beyond this by the Dean of the Doctoral College or by the MD Degree Board of Studies shall pay the standard extension fees for the extension period.
- 9.56 Research students in a writing-up period shall continue to be offered formal supervision and this shall include the first supervisor reading and commenting on the final draft of the thesis provided that the thesis is presented by a mutually acceptable date in sufficient time before the required submission date. Research Students are expected to submit their thesis within the writing-up period.
- 9.57 Over the writing-up period the research student shall continue to have access to the University Library and their University IT account. Research students in a writing-up period may continue to have access to appropriate departmental facilities subject to approval from the Head of Department.

### **Changes of Registration**

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

### **Dual Registration**

- 9.60 Research students registered on a full-time research degree programme at the University must not be registered on another full-time degree programme either at the University or another institution.
- 9.61 Research students registered on a part-time research degree programme at the University may, with the prior approval of the Dean of the Doctoral College, register for another part-time programme either at the University or another institution provided that there is no substantial overlap in content between programmes and the research student does not submit for one programme work that has been completed for the other.
- 9.62 Sponsored research students must comply with any conditions relating to dual registration that are associated with the terms of their sponsorship. International research students must comply with any conditions relating to dual registration that are associated with the terms of their immigration status.
- 9.63 Academic pressure resulting from dual registration shall not be accepted as an extenuating circumstance for poor academic performance, neglect of academic obligations, or academic dishonesty.

### **Suspension of Programme**

- 9.64 Research students who have experienced extenuating circumstances which are accepted by the University may suspend their programme. A suspension is an approved period of absence from the research degree programme. Research students registered for the degree of DClInPsy must follow programme and National Health Service requirements for programme breaks.
- 9.65 Suspension of programme indicates that the research student is not actively engaged with the research degree programme but remains registered with the University. Over the suspension period the research student shall not be offered formal supervision nor have access to departmental facilities. Over the suspension period the research student shall continue to have access to the University Library and their University IT account. Requests for suspension of programme require the approval of the Department

and must be submitted to the Doctoral College Office or, in the case of research students registered for the degree of MD, to the College Student Programmes Office.

- 9.66 Periods of suspension shall normally be at least three months in duration. Research students shall not normally suspend their programme for a period exceeding twelve months over the duration of the research degree programme. Research students returning from a period of suspension shall normally resume their programme as of the first day of the relevant month. The suspension period shall not count towards the specified minimum and maximum registration periods.

### **Withdrawal**

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

### **Induction and Training**

- 9.69 The research student shall be expected to make use of relevant induction and training events and materials provided by the University. The research student shall be expected to complete mandatory integrity training prior to the completion of probation.

### **Induction**

- 9.70 The Department shall ensure that the research student receives appropriate induction information at the start of the research degree programme. This must include guidance on:
1. the roles and responsibilities of the research student and the supervisory team
  2. the nature of research and the standard of work expected of research students
  3. the specified maximum registration period and the planning of the research programme
  4. the relevant probation and progress monitoring requirements
  5. the identification and use of appropriate literature and information resources.
- 9.71 The research student shall be responsible for making themselves familiar at the start of the research degree programme with relevant University policies and procedures. In particular, the research student must ensure that they are familiar with relevant Senate Regulations and the Code of Conduct for Research.

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

- 9.72 The research student shall have the opportunity through the research degree programme and other University events and materials to develop relevant research and other skills.
- 9.73 The Department shall ensure that the research student receives training and/or guidance to support their development of relevant research skills. Research students registered for the degree of PhD, MD, PsyD, or MPhil shall normally work with the supervisory team to identify the research skills needed for the research degree programme and to develop an appropriate training plan. Research students registered for other doctoral degree programmes shall normally develop relevant research skills through the assessed components of the programme.
- 9.74 All research students should, in addition to developing relevant research skills, make use of opportunities to develop their broader personal and professional skills. These may include written and

oral communication skills, presentation skills, project management skills, interpersonal and leadership skills, and career planning skills.

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

### **Supervision of Research Students**

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

### **Supervisory Team Members**

- 9.79 Each supervisory team must comprise at least two members and include:
1. a clearly identified first supervisor – the first supervisor must have expertise in the student's area of research and shall have primary responsibility for the student's supervision
  2. a second or co-supervisor – the second supervisor must have expertise relevant to the student's area of research and shall either assist the first supervisor in the provision of guidance and support to the student or have a co-supervisor role.
- 9.80 The first supervisor must be one of the following:
1. a member of the University's academic staff
  2. a research fellow of the University
  3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University.

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

- 9.81 The second supervisor must be one of the following:
1. a member of the University's academic staff
  2. a research fellow of the University

3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University
4. an academic member of staff at another institution as part of a training partnership agreement.

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

- 9.82 The first and second supervisors of a research student registered at an associated institution must be members of the academic staff of that institution.
- 9.83 A third supervisor may be appointed if needed. The third supervisor is not required to be a member of the University's academic staff and the use of non-University staff as third supervisors may be appropriate where the research student will undertake a placement in industry or is registered under a split-site arrangement. Honorary and emeritus staff of the University may be appointed as third supervisors.
- 9.84 The Dean of the Doctoral College shall be responsible for approving the appointment of a third supervisor who is not a member of the University's academic staff. Such supervisors shall be designated as external supervisors. If an external supervisor is appointed, it must be made clear to all parties that full control over supervision rests with the University.

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

- 9.85 The Department must specify a named first supervisor at the point it makes a formal offer of admission to a PhD, MD, PsyD, or MPhil programme. The names of other members of the supervisory team shall be specified if known. Research students registered for other doctoral degree programmes must be informed of the members of the supervisory team at the appropriate point in their registration.
- 9.86 The Department must notify the research student and the Doctoral College Office in writing should it be necessary to change the appointed supervisory team after a formal offer of admission has been made. The Head of Department or their nominee shall be responsible for making alternative supervision arrangements.
- 9.87 The supervisory team must have appropriate experience of the supervision of research students. The first and second supervisors shall normally between them have experience of successfully supervising at least three research students to completion. The approval of the Head of Department shall be required where it is proposed to appoint a supervisory team with less experience.
- 9.88 Members of the University's academic staff on probation may be appointed as either first or second supervisor. If a member of academic staff on probation is appointed as first supervisor, the other members of the supervisory team must between them have experience of successfully supervising at least three research students to completion.
- 9.89 Supervisors should not be appointed to, or be allowed to remain appointed to, a supervisory team where:
1. they will be supervising a research student with whom they have or have had a close personal or professional relationship
- or
2. they have or have had a close personal or contractual relationship with another member of the same supervisory team.

Members of the supervisory team must declare any such relationship(s) to the Head of Department or their nominee. The Head of Department or their nominee shall be responsible for making alternative supervision arrangements. The Head of Department or their nominee may, in exceptional

circumstances, agree to the supervisory arrangements continuing unchanged – but only with full disclosure to and the agreement of the research student.

**Supervision Loads**

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

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

First Supervisor Appointments:           1 x Full-Time Student = 1.0 FTE  
   1 x Part-Time Student = 0.5 FTE

Second Supervisor Appointments:        1 x Full-time Student = 0.5 FTE  
   1 x Part-Time Student = 0.25 FTE

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

**Training and Monitoring of Supervisors**

9.93 All research student supervisors must have completed the University’s training programme for supervisors. Newly appointed supervisors must complete the University’s training programme for supervisors by the end of the first year of providing supervision.

**Responsibilities of Supervisors**

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

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

9.96 The supervisory team must ensure that appropriate arrangements are in place so that formal supervisory meetings with research students on a part-time or distance learning research degree programme are held as specified in 9.100 and 9.101.

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

9.98 The responsibilities of the supervisory team shall include:

1. ensuring that the research student is familiar with relevant Senate Regulations and the Code of Conduct for Research
2. providing the research student with guidance on:
  - a. the nature of research and standard expected
  - b. the requirements of the degree for which they are registered

- c. the planning of the research programme
  - d. literature and sources
  - e. obligations with respect to assessed components excluding the thesis and/or skills and career development training
  - f. required research techniques and methodologies
  - g. the need to develop oral and written communication skills
  - h. academic honesty and drawing attention to relevant regulations, including those relating to plagiarism
3. monitoring the progress of the student's research through regular formal supervisory meetings and ensuring that the research student keeps an agreed record of these meetings within MyPGR, and confirming the meeting record
  4. being accessible at mutually convenient times when the research student may need advice
  5. giving detailed advice on the necessary completion dates of successive stages of the work so that the thesis can be submitted within the relevant maximum registration period
  6. emphasising the importance of timely submission of the thesis in terms of good academic practice and in relation to the requirements of the University
  7. providing, where necessary, supporting statements and confirmation for requests that impact the student's registration within MyPGR
  8. requesting draft or preliminary written and other work as appropriate and returning such work with constructive criticism and within a reasonable time
  9. arranging, as appropriate, for the research student to present their work to staff and students, bearing in mind the demands of the viva voce examination
  10. ensuring that the research student is made aware of any concerns about their progress or the standard of their work and ensuring that the Head of Department and the Postgraduate Research Tutor are notified in writing if there are any concerns about the research student's progress or ability to achieve the degree for which they are registered
  11. reading and commenting on the whole of the final draft of the thesis, provided that this is presented within a reasonable and agreed timeframe, and ensuring that the research student is aware that the thesis must comply with all relevant regulations, including those on word length, format, and binding
  12. notifying the research student, the Head of Department, and the Postgraduate Research Tutor if they have concerns about the quality of the thesis to be submitted for examination
  13. liaising with the Postgraduate Research Tutor and the Doctoral College Office to ensure that regulations are appropriately applied.

### **Formal Supervisory Meetings**

- 9.99 Formal supervisory meetings for research students registered for the degree of PhD, MD, PsyD, or MPhil in the probation period shall normally be held at least monthly (MD, PsyD, or full-time PhD and MPhil) or every two months (part-time PhD and MPhil). Following successful completion of the probation period, formal supervisory meetings shall continue to be held every month (full time) or every two months (part time). All research students registered for the degree of PhD, MD, PsyD, or MPhil must ensure no more than 60 calendar days elapse between supervisory meetings (full time) or 90 calendar days elapse between supervisory meetings (part time).
- 9.100 Formal supervisory meetings for research students registered for other doctoral degree programmes shall normally be held at least monthly (full-time) or every two months (part-time). However, formal supervisory meetings may not commence until the research student has completed all assessed components of the programme excluding the thesis.

- 9.101 The research student shall be responsible for agreeing with the supervisory team a mutually acceptable annual schedule of formal supervisory meetings.
- 9.102 Formal supervisory meetings may not involve all members of the supervisory team. All formal supervisory meetings shall normally involve the first supervisor and there must be at least one formal supervisory meeting each year at which all members of the supervisory team are present.
- 9.103 Formal supervisory meetings with campus based research students shall normally be conducted in person. Formal supervisory meetings with distance learning research students may be conducted by any appropriate means of communication, but meetings in person should be used where possible.
- 9.104 The research student shall be responsible for preparing a record of each formal supervisory meeting within MyPGR. The first supervisor must check this record for accuracy and confirm whether it is accurate within MyPGR.
- 9.105 Research students holding a Tier 4 student visa sponsored by the University who have submitted their thesis for examination and wish to remain within the United Kingdom under their Tier 4 visa must either continue to attend formal supervisory meetings each month or continue to check-in with their departments. Check-ins must be held so that no more than 60 days elapse between the first checkpoint and the last supervisory meeting or between any two subsequent check-ins and must continue until the point of award.

#### **Postgraduate Research Tutors**

- 9.106 Each Department must have a designated Postgraduate Research Tutor. The Head of Department shall be responsible for appointing the Postgraduate Research Tutor. The Postgraduate Research Tutor shall provide pastoral and other general guidance as appropriate to both the research student and the supervisory team. The Postgraduate Research Tutor may supervise research students in their own right. Where the regular Postgraduate Research Tutor is supervising a research student in their own right, the Head of Department must appoint an alternative Postgraduate Research Tutor for that student.
- 9.107 The responsibilities of the Postgraduate Research Tutor shall include:
1. providing research students in the Department with advice on the role of the Postgraduate Research Tutor and their availability for consultation
  2. ensuring that research students in the Department are aware of and adhere to relevant Senate Regulations and the Code of Conduct for Research
  3. contributing to the oversight and operation of research student admissions decisions
  4. assisting in identifying possible supervisors, probation and progress review panel members, and examiners
  5. contributing to the oversight and operation of research student progress monitoring mechanisms and ensuring that probation and progress reviews take place at the appropriate point in each research student's registration with an appropriately composed review panel
  6. monitoring the frequency of formal supervisory meetings
  7. providing, where necessary, confirmation of departmental or School approval for requests that impact student registration within MyPGR
  8. monitoring research student participation with respect to assessed components excluding the thesis and/or skills and career development training
  9. ensuring that appropriate personal support is available to research students and providing guidance on other sources of support and advice to research students and supervisory teams
  10. providing initial mediation in a dispute between the research student and the supervisory team
  11. working with supervisory teams to ensure timely submission of theses

12. acting where appropriate on behalf of the research student, including seeking guidance on regulatory issues from the Doctoral College Office.

### **Progress Review Monitoring**

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

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

- 9.110 Research students registered for the degree of PhD or MPhil shall be registered on probation for the first year of the degree (full-time) or first two years of the degree (part-time). Research students registered for the degree of MD, PsyD, or DClInPsy shall be registered on probation for the first year of the degree.
- 9.111 Before the end of the specified probation period, the research student must be assessed and a decision made as to whether they have successfully completed the probation period and should be permitted to continue with the degree.
- 9.112 For research students registered for the degree of PhD, MD, PsyD, or MPhil the first formal progress review shall be used to decide whether the student has successfully completed probation. This review must take place before the end of the research student's first year of registration (MD, PsyD, or full-time PhD and MPhil) or before the end of the second year of registration (part-time PhD and MPhil).
- 9.113 An alternative but equivalent review format comprising an assessed training programme may be used for:
  1. research students registered for the degree of DClInPsyor
  2. research students registered for the degree of PhD or MPhil and who are based in a Research Council Doctoral Training Partnership/Centre for Doctoral Training and where the use of an alternative review format has been approved by the Dean of the Doctoral College.
- 9.114 For the probation review the research student must prepare:
  1. a written report on their progress to date – this shall normally be of 5,000 to 10,000 words and may be accompanied by relevant supporting research outputs
  2. a work plan for completing the thesis over the remaining part of the specified maximum registration period
  3. a record of skills and career development training completed to date – where the Department has compulsory training requirements, this record must include evidence that these have been met
  4. written records of all formal supervisory meetings held to date
  5. The student is required to submit the probation report and any accompanying substantive work through a plagiarism checker.
- 9.115 The above are minimum requirements and the Department may require research students to produce additional materials as appropriate – for example, practical work, lab books, etc.
- 9.116 For the probation review the supervisory team must prepare written feedback – around 300 words – on the research student's progress. This feedback must include:
  1. a discussion of the research student's progress to date



2. a discussion of the feasibility of the research student's proposed work plan
3. recommendations for further training that is required
4. The supervisory team is responsible for reviewing the plagiarism check similarity report required at probation and submitting the report and an accompanying summary to the Probation Review Panel.

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

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

1. a member of the University's academic staff
2. a research fellow of the University
3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University.

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

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

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

9.121 Members of the probation review panel must not have or have had:

1. a close personal or professional relationship with the research student or the research student's immediate family
- or
2. a close personal or contractual relationship with any member of the supervisory team or any other member of the panel.

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

9.123 The probation review shall provide the research student with the opportunity to discuss their research, their findings so far, and their plans for completing the thesis. The research student must give a presentation and defence of their work. This shall normally take the form of an oral examination and/or a presentation followed by questions.

9.124 In advance of the probation review, the Department must provide the probation review panel with copies of the research student's progress report and the written feedback of the supervisory team.

9.125 The probation review must be conducted in person and shall normally take the form of a meeting between the research student and the probation review panel. The research student may be required to give a separate presentation to the probation review panel, members of the Department, and

others. The probation review panel may ask the research student questions on any relevant matters as needed to form an opinion on the student's progress to date and their ability to complete the degree within the specified maximum registration period.

9.126 Members of the research student's supervisory team may attend that student's probation review meeting, including any separate presentation session, as observers. If members of the supervisory team are in attendance, the research student must be given the opportunity to discuss privately with the probation review panel any other relevant matters that they may wish to raise.

9.127 At the end of the probation review, the probation review panel must make a recommendation to the Head of Department or – in the case of research students registered for the degree of MD, to the MD Board of Studies – as to whether the research student should be permitted to continue with the degree. The panel shall recommend one of the following:

1. that the research student has successfully completed probation for the degree for which they registered and should be permitted to continue as a registered student
2. that the research student has not successfully completed probation for the degree for which they registered and should be required to remain on probation for that degree for a period of no more than six months and complete a further and final probation review before the end of that period
3. that the research student has not successfully completed probation for the degree for which they registered but should be permitted to register for a lower award (research students registered for the degree of PhD)
4. that the research student has not successfully completed probation and should have their registration terminated.

9.128 At the end of the probation review the probation review panel must prepare a brief written report indicating their recommendation and the reasons for making this. Copies of this report must be provided to the research student, the supervisory team, and the Doctoral College Office or, in the case of research students registered for the degree of MD, to the College Student Programmes Office.

9.129 If the probation review panel has recommended that the research student should remain on probation for a period of no more than six months, a further probation review must be held before the end of that period. At the end of that subsequent probation review, the probation review panel must make a recommendation to the Head of Department or – in the case of research students registered for the degree of MD, to the MD Board of Studies – as to whether the research student should be permitted to continue with the degree. The panel shall recommend one of the following:

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

9.130 At the end of the subsequent probation review the probation review panel must prepare a brief written report indicating their recommendation and the reasons for making this. Copies of this report must be provided to the research student, the supervisory team, and the Doctoral College Office or, in the case of research students registered for the degree of MD, to the College Student Programmes Office.

9.131 Where an approved alternative review format is used:

1. it must comprise a specified programme of training components

2. assessment of the research student's performance in each component and across the training programme as a whole shall be made with reference to specified minimum requirements
3. a decision shall be made on the basis of the assessment of the research student's performance as to whether the research student should be permitted to continue with the degree; this decision must be made by
  - a. the Board of Examiners (research students registered for the degree of DClInPsy)
  - or
  - b. a panel of academic staff appointed for that purpose (research students based in a Research Council Doctoral Training Partnership/Centre for Doctoral Training)
4. research students who have not successfully met the specified requirements shall normally have their registration terminated.

### Subsequent Progress Reviews

- 9.132 Following the probation review, the progress of research students registered for the degree of PhD, MD, PsyD, or MPhil and whose degree is of more than one year in duration shall be monitored by a progress review panel. The progress of research students registered for the degree of DClInPsy shall be monitored by the DClInPsy Board of Examiners.
- 9.133 The progress review panel must comprise at least two members. Members of the research student's supervisory team may be members of the same student's progress review panel, but the progress review panel must include at least one member who is not also a member of the supervisory team – normally this shall be a member of the original probation review panel. The Head of Department or their nominee shall be responsible for the appointment of the progress review panel. The appointment of a progress review panel for research students registered at an associated institution shall be the responsibility of that institution.
- 9.134 Before the end of each year of their registration – excluding the final year – the research student must submit a written report on their progress to the progress review panel. This report shall normally be of at least 2,000 words and may be accompanied by relevant supporting research outputs.
- 9.135 The progress review panel must arrange regular progress review meetings with the research student. Progress review meetings must take place at least annually (MD, PsyD, or full-time PhD and MPhil) or every second year (part-time PhD or MPhil). Progress review meetings with campus based research students shall normally be conducted in person. Progress review meetings with distance learning research students may be conducted by any appropriate means of communication, but meetings in person should be used where possible.
- 9.136 Progress review meetings shall provide the research student with the opportunity to discuss their research, their findings so far, and their plans for completing the thesis. There is no requirement for the research student to give a presentation or defence of their work at subsequent progress reviews; however, the Department may require this as appropriate. Research students must be given appropriate notice if they shall be required to present or defend their work.
- 9.137 At the end of each progress review meeting the progress review panel must prepare a brief written report on the research student's progress since the last progress review meeting. The report must make clear any concerns that the progress review panel has about the research student's progress or ability to achieve the degree for which they are registered within the specified maximum registration period.
- 9.138 A copy of the progress review panel's report must be provided to the research student and the Doctoral College Office or, in the case of research students registered for the degree of MD, to the College Student Programmes Office. If the progress review panel has serious doubts about the research student's progress or ability to achieve the degree for which they are registered, a copy of the report must be provided to the Head of Department who may initiate proceedings for neglect of academic obligations as specified in 9.152 to 9.155.

**Research Student Obligations and Research Conduct**

- 9.139 Research students must familiarise themselves with the general definitions of misconduct specified in [Senate Regulation 11](#). These include both academic and non-academic forms of misconduct.
- 9.140 All students of the University shall be subject to the jurisdiction of the Senate, in respect both of their studies and their conduct. The Senate has the power to suspend, exclude, or expel any student deemed to have been guilty of misconduct or to impose such other penalties as may be appropriate.
- 9.141 In addition to the Senate Regulations, research students shall be required to abide by the Code of Conduct for Research.

**Responsibilities of Research Students**

- 9.142 The research student shall have primary responsibility for the direction and progress of their research and for the delivery of a thesis of an appropriate standard within the specified maximum registration period.
- 9.143 The research student shall be expected to adopt a professional approach to the research degree programme, including:
1. good timekeeping
  2. observing deadlines
  3. reading and responding to communications from the supervisory team and other members of the University
  4. taking responsibility for their own skills and career development.
- 9.144 The responsibilities of the research student shall include:
1. completing initial registration and any subsequent re-registration as required and, in the case of international research students, complying with all relevant immigration requirements
  2. making themselves familiar with relevant policies and procedures – in particular, with the Senate Regulations and the Code of Conduct for Research
  3. developing an appropriate research plan that will enable submission of the thesis for examination within the specified maximum registration period
  4. managing and sustaining progress in accordance with the agreed research plan, including the submission to the supervisory team of interim work as required
  5. recognising when they need help and taking the initiative in raising any concerns and problems as early as possible with the supervisory team or the Postgraduate Research Tutor
  6. complying with all relevant requirements with respect to intellectual property
  7. making time at the start of the research degree programme to discuss with the supervisory team the nature of research, the standard of work expected of research students, and the respective roles and responsibilities of the research student and the supervisory team
  8. confirming with the supervisory team how supervision will work in practice and clarifying their own preferences with respect to the type of supervisory guidance needed and the ways in which this might be provided
  9. maintaining regular contact with the supervisory team and taking the initiative in agreeing with the supervisory team a mutually acceptable schedule for formal supervisory meetings
  10. reflecting on and responding to feedback and guidance provided by the supervisory team at formal supervisory meetings
  11. preparing and keeping an agreed written record of each formal supervisory meeting within MyPGR

12. complying with the University's requirements for formal progress reviews
13. undertaking appropriate skills and career development training
14. maintaining a record of completed skills and career development activities and reviewing and revising their training plan as appropriate within MyPGR
15. providing the supervisory team with a complete final draft of the thesis by a mutually acceptable date in sufficient time before the required submission date for the supervisors to read and comment on
16. reflecting on and responding to feedback and guidance provided by the supervisory team with regards to the final draft of the thesis
17. ensuring that the thesis complies with all relevant regulations, including those on word length, format, and binding
18. making appropriate preparations for the viva voce examination and attending the examination as required by the examining team
29. complying with all thesis final submission requirements – submission to the University Library of an electronic copy of the thesis.

### **Ethical Approval of Research**

- 9.145 Research students undertaking work that involves human participants must receive ethical approval prior to its commencement. The research student must familiarise themselves with the requirements for the approval of work on ethical grounds, including the need to complete an online ethics application form for review by the relevant University Research Ethics Committee or, where required, a National Health Service Research Ethics Committee. Research involving human participants must not commence without the prior approval of the relevant committee.
- 9.146 The research student must consult the supervisory team if they are thinking of making any changes to the proposed research after having received ethics approval. If the research student fails to seek appropriate ethical approval prior to commencing their work, or fails to consult with the supervisory team regarding major changes to their work once it has commenced, the Head of Department may initiate proceedings for academic dishonesty as specified in 9.151 to 9.154.

### **Academic Honesty**

- 9.147 The University's primary functions of teaching and research involve a search for knowledge and the truthful recording of the findings of that search. Any action that is knowingly taken by the research student which involves misrepresentation of the truth shall be considered as academic dishonesty and as such is an offence which the University believes should merit the application of very severe penalties.
- 9.148 Offences in this category shall include, but are not confined to:
1. cheating in examinations
  2. copying work from or using work written by another student
  3. copying from published authorities, including online sources, without acknowledgement
  4. making work available to another person for copying
  5. soliciting or commissioning work
  6. pretending ownership of another's ideas
  7. falsifying results
  8. undertaking research without appropriate ethical approval
- 9.149 If the research student is deemed to have been guilty of academic dishonesty, the Head of Department is authorised to apply the following penalties:

1. For academic dishonesty in assessed components excluding the thesis, penalties shall be applied in accordance with [Senate Regulation Nine – Appendix Three](#) (research students registered for the degree of DClinPsy, DSocSci, EdD, or EngD)
2. For academic dishonesty in a formal progress review report and/or presentation, the research student shall be given a severe written warning and permitted to repeat the progress review – except in such cases where the level of dishonesty is such that the Head of Department considers it necessary to refer the case to a Senate Disciplinary Panel (research students registered for the degree of PhD, MD, PsyD, or MPhil)
3. For academic dishonesty in the development of the thesis or in other non-assessed work, the research student shall be given a severe written warning – except in such cases where the level of dishonesty is such that the Head of Department considers it necessary to refer the case to a Senate Disciplinary Panel
4. If academic dishonesty is found in a thesis submitted for examination, this must be reported immediately to the Doctoral College Office; the examination shall be suspended and the Head of Department shall instigate an investigation – where academic dishonesty is confirmed, a viva voce examination shall not be held and the examiners shall normally recommend failure without right of resubmission; if appropriate, further action may be taken as specified in [Senate Regulation Eleven](#).

### **Academic Obligations**

- 9.150 The nature of a research student’s academic obligations varies from programme to programme and from department to department. If the supervisory team or progress review panel has concerns about whether the research student is meeting their academic obligations or has serious doubts about the student’s progress or ability to achieve the degree for which they are registered, the Head of Department and the Postgraduate Research Tutor must immediately be notified in writing.
- 9.151 The Head of Department, in consultation with the Postgraduate Research Tutor and the supervisory team, shall decide on the most appropriate course of action.
- 9.152 The Head of Department must ensure that the research student fully understands their responsibilities and the reasons why their progress is considered to be unsatisfactory. Initial measures taken by the Department shall normally be supportive – for example, a suspension of registration if there are personal or medical difficulties, reformulation of the research area, or transfer to a lower degree.
- 9.153 If after such action the research student’s progress remains unsatisfactory, or the research student is unable to demonstrate the ability to perform at the required level, the Head of Department shall either:
1. issue a formal warning to the student as specified in [Senate Regulation Eleven](#)
  - or
  2. refer the matter to a Panel of the Senate Student Discipline Committee with a recommendation that the student should have their registration terminated.

### **Intellectual Property**

- 9.154 Intellectual property shall be attributed in accordance with the requirements specified in the Intellectual Property Policy and the Code of Conduct for Research.
- 9.155 The research student shall be responsible for complying with such requirements for the protection of intellectual property as are specified by the University as well as any other applicable requirements for the protection of third party intellectual property.
- 9.156 There are a number of ways in which confidentiality can be compromised by disclosure of a discovery or invention. Research students must be aware that disclosure can occur as a result of an academic presentation (such as a spoken presentation, conference abstract, poster, etc.) or any other conversation (such as a written, spoken, or electronic communication, etc.). Breaches of confidentiality

may result in an inability to protect the intellectual property in the future. They may also result in actions for recovery of losses against the University and the individual concerned.

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

### **Copyright**

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

### **Proof Reading Services**

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

### **Illness**

- 9.161 Research students who suffer a minor illness for a period of less than one month must report their absence.
- 9.162 Research students who suffer an illness of more than a month's duration or that is of a non-minor nature should seek medical advice and obtain a medical certificate. A copy of the medical certificate must be provided if seeking a suspension to registration.
- 9.163 The research student shall be responsible for providing such documentation as shall be required by the University as evidence of their illness or of their fitness to resume the research degree programme.

### **Leave and Holidays**

- 9.164 Research students may in each calendar year take periods of annual leave, normally up to a maximum of twenty-seven (full-time) or thirteen and a half (part-time) leave days. Requests to take annual leave must be made through the supervisory team and recorded by the Department. Requests to take leave for a period of more than one month shall not normally be approved.
- 9.165 In addition to the annual leave entitlement, there are a number of United Kingdom public holidays and a further number of days in each year which are allocated by the University as closure days around the Christmas and Easter periods.
- 9.166 Sponsored research students must comply with any conditions for taking leave that are associated with the terms of their sponsorship. International research students must comply with all attendance monitoring requirements regardless of any agreed leave period.

### **Paid Employment**

- 9.167 Full-time research students may with the approval of the Head of Department undertake paid employment (excluding internships or other placements arranged as part of the research degree programme) normally up to a maximum of eight hours each week.
- 9.168 Sponsored research students must comply with any conditions for undertaking paid employment that are associated with the terms of their sponsorship. International research students must comply with any conditions for undertaking paid employment that are associated with the terms of their immigration status.

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

### **Internships and Placements**

- 9.170 The research student may, with the approval of the supervisory team, undertake an internship or other placement over the duration of the research degree registration. In some cases, the completion of an internship/placement may be a condition of the research student's sponsorship.
- 9.171 The duration and timing of the internship/placement shall be agreed between the research student, the supervisory team, and the internship/placement host. The supervisory team shall have the final say on the duration and timing of the internship/placement.
- 9.172 If the internship/placement is not undertaken as a condition of the research student's sponsorship, it shall not normally exceed three months either as a block of time or spread over the duration of research degree programme. The prior approval of the Dean of the Doctoral College shall be required for internships/placements not undertaken as a condition of the research student's sponsorship and which would exceed three months.
- 9.173 The internship/placement period shall normally count towards the specified minimum and maximum registration periods.
- 9.174 International research students must comply with all attendance monitoring requirements regardless of any agreed internship/placement period.

### **Appeals and Complaints**

- 9.175 The research student may appeal against an academic decision concerning progress, the award of a degree lower than that for which they were registered, or the termination of their registration. Research students who wish to appeal against an academic decision of these types must submit a formal academic appeal as specified in [Senate Regulation Ten](#).
- 9.176 Research students who are dissatisfied with any element of the research degree programme or supervision must raise any concerns at the time they occur and prior to submission of the thesis for examination. The research student must raise any such concerns with the supervisory team in the first instance. Research students who are dissatisfied with the response of the supervisory team should take their concerns to the Postgraduate Research Tutor or the Head of Department. Research students who are unable to resolve difficulties through these routes may submit a formal complaint as specified in [Senate Regulation Twelve](#).

### **Thesis Submission**

- 9.177 To be awarded the degree of Doctor of Philosophy, the research student must satisfy the examiners by means of a thesis which makes a distinct and original contribution to knowledge in the discipline and contains work which is considered to be worthy of publication. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied. For research students registered for the degree of PhD and who will submit a practice-based thesis, both the critical/reflective component and the practice component of the thesis must form a coherent whole which meets the requirements for the award of the degree.
- 9.178 To be awarded the degree of Doctor of Medicine, the research student must satisfy the examiners by means of a thesis in any branch of medicine, surgery, or medical science, which has been specifically composed for the purpose, includes a review of the relevant background literature, contains a critical account of original laboratory-based or clinical research, carried out personally by the research student, that constitutes a significant contribution to knowledge, and contains work which is deemed worthy of publication.



- 9.179 To be awarded the degree of Doctor of Psychology, the research student must satisfy the examiners by means of a thesis which has been specifically composed for the purpose. The thesis must include a critical literature review (the topic normally being relevant to the research question addressed in the research study) and a self-contained research study which conforms to the requirements of a peer-reviewed journal appropriate to the research topic, a reflective critique of the research process, and constituting a contribution to knowledge.
- 9.180 To be awarded the degree of Doctor of Clinical Psychology, Doctor of Education, Doctor of Engineering, or Doctor of Social Science the research student must successfully complete all assessed components excluding the thesis to the appropriate standard described in the relevant programme specification and satisfy the examiners by means of a thesis which makes a distinct and original contribution to knowledge in the discipline and contains work which is considered to be worthy of publication. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied.
- 9.181 To be awarded the degree of Master of Philosophy, the research student must satisfy the examiners by means of a thesis which demonstrates a satisfactory record of research, a broad knowledge and understanding of the field of study and associated research techniques, and shows that these have been successfully applied. The thesis must present evidence of a critical survey of knowledge in the discipline but does not need to make a distinct and original contribution to knowledge of their discipline or to be of publishable quality. For research students registered for the degree of MPhil and who will submit a practice-based thesis, both the critical/reflective component and the practice component of the thesis must form a coherent whole which meets the requirements for the award of the degree.
- 9.182 The thesis must not have previously been submitted for examination for a degree of the University or another institution except in the case of theses which had been submitted for a degree of the University and referred for resubmission. In all cases the thesis must be:
1. the result of the research student's own work; where parts of the thesis are the result of work undertaken by or with others, this must be explicitly acknowledged in the thesis text and/or references
  2. the result of work undertaken by the research student over their period of registration – except where the thesis comprises inter-related published works or clinical case studies.

### **Thesis Format**

- 9.183 With the exception of short quotations for which an English translation is provided, the thesis must be written in English unless the Dean of the Doctoral College has given approval prior to submission for examination for all or part of the thesis to be in another language.
- 9.184 The thesis must be presented on A4 size.
- 9.185 Any research degree thesis undertaken at the University of Leicester must, when printed, be printed on one side only. Text must be of good quality with 1.5 line spacing and should normally be in 12-point type.
- 9.186 Any research degree thesis undertaken at the University of Leicester must, when printed, have a margin of at least 3.5 centimetres on the left side of each page. All other margins must be of at least 2.5 centimetres.
- 9.187 The first page of the thesis must be a title page that includes the following information:
1. the full title of the thesis
  2. the research student's full name
  3. the name of the research student's Department
  4. the month and year in which the thesis was submitted for examination

- 9.188 The title page of the thesis must be followed by the thesis abstract. The abstract must not exceed 300 words and must include in the form of a heading the full title of the thesis and the research student's full name.
- 9.189 The thesis abstract must be followed in this order by:
1. acknowledgements page
  2. table of contents
  3. main body of the thesis
  4. appendices (if needed)
- 9.190 Explanatory notes must be numbered and presented as footnotes at the bottom of the relevant page.
- 9.191 The thesis appendices – or the main body of the thesis if there are no appendices – must be followed by a complete and accurate bibliography. All works referenced in the thesis must be included in the bibliography.
- 9.192 The critical/reflective component of a practice-based thesis submitted for the degree of PhD or MPhil must comply with the requirements for thesis format specified in 9.185 to 9.194. The practice component of the thesis must be submitted as a created output appropriate to the area of research and in a form suitable for examination.

### Thesis Word Length

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

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

|       |              |
|-------|--------------|
| PhD   | 50,000 words |
| MD    | 30,000 words |
| MPhil | 30,000 words |

Except for:

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

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

- b. research students registered for the degree of PsyD or DClInPsy where the length of the thesis – including footnotes and any appendices (except mandatory appendices), but excluding the table of contents, tabulated data, diagrams, and the bibliography – must not exceed the following limits:

|          |              |
|----------|--------------|
| PsyD     | 30,000 words |
| DClInPsy | 29,000 words |

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

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

Except for research students in the Department of Geography registered for the degree of PhD or MPhil and whose thesis is based on social science research, where the length of the thesis must not exceed the limits specified in 9.196(4).

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

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

4. For research students in any College registered for the degree of PhD or MPhil and who will submit a practice based thesis, the length of the critical/reflective component of the thesis – including footnotes, but excluding the table of contents, tabulated data, diagrams, any appendices, and the bibliography – must be no less than 20% and no more than 80% of the relevant maximum word length specified in 9.196(1) to 9.196(3).

9.194 The thesis must not exceed the specified maximum word limit unless the Dean of the Doctoral College has given approval for a higher word limit prior to submission of the thesis for examination.

#### **Thesis Submission**

9.195 The research student must on the request of the Doctoral College Office confirm the date by which they expect to submit the thesis for examination.

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

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

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

- 9.199 Research students submitting the thesis for examination must submit to the Doctoral College an electronic copy of the thesis.
- 9.200 Research students who following examination have been referred for resubmission must submit to the Doctoral College Office an electronic copy of the revised thesis.
- 9.201 Research students who following examination have been awarded a research degree must submit an electronic copy of the thesis to the University Library; the electronic copy of the thesis shall be deposited in the Leicester Research Archive and made available through the British Library's Electronic Theses Online Service. Where, owing to security or protection rights it is not possible to provide an electronic copy of the final thesis for public access through the British Library's Electronic Theses Online Service, research students may be required to submit a hardbound copy of the thesis. The hardbound cover must be standard green (Aberlave Library Buckram No. 563).
- 9.202 Research students who following examination have been awarded the degree of PhD or MPhil on the basis of a practice-based thesis must submit to the University Library a permanent record of the practice component of the thesis – such as a physical artefact, photographic record, or audio-visual record.

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

- 9.203 The thesis shall be made available through the University Library, the Leicester Research Archive, and the Electronic Theses Online Service. A request to restrict access to the thesis may be made if there are extenuating reasons for doing so.
- 9.204 If there are extenuating reasons for restricting access to the thesis, the research student and/or the supervisory team may request that the thesis should be placed under an embargo for a period of no more than three years. The request for a thesis embargo must be made to the Doctoral College Office on or before the date at which the thesis is submitted for examination. The application of a thesis embargo shall be subject to approval from the Dean of the Doctoral College. An approved embargo may apply to the electronic copy of the thesis only or to both an electronic and a print copy of the thesis.
- 9.205 Access to the thesis shall be restricted if the research is the subject of a formal confidentiality agreement with a sponsor. In such cases the relevant office holding the sponsor agreement shall notify the Doctoral College Office of the relevant conditions.
- 9.206 Sponsored research students must comply with any conditions for open access to the thesis that are associated with the terms of their sponsorship.

### **Thesis Examination**

- 9.207 All research students must successfully defend their thesis in a viva voce examination before a research degree shall be awarded.
- 9.208 The viva voce examination for research students registered for the degree of PhD or MPhil and submitting a practice-based thesis must address both the critical/reflective component and the practice component of the thesis. The examining team shall be required to attend a presentation of the practice component of the thesis and this shall normally be arranged to coincide with the viva voce examination.

### **Examining Teams**

- 9.209 The viva voce examination must be conducted by an examining team. Each examining team must comprise at least two members. At least one member of the examining team must be an external examiner.
- 9.210 Members of the research student's supervisory team must not be members of the same student's examining team.
- 9.211 A second external examiner must be appointed if it is not possible to appoint an internal examiner.

- 9.212 The examining team must comprise two external examiners if the research student to be examined is a member of the University's academic staff.
- 9.213 The examining team shall normally comprise one internal examiner and one external examiner if the research student to be examined is a member of the University's non-academic staff, including research students who have held Graduate Teaching/Research Assistant posts. The Dean of the Doctoral College may if appropriate require that two external examiners shall be appointed.
- 9.214 Members of the examining team must not:
1. have or have had a personal or contractual relationship with the research student to be examined, the research student's immediate family, any member of the student's supervisory team, any other member of the examining team, or – if appointed – the chair of the viva voce examination
  2. have had substantial involvement in the work of the research student to be examined –including substantial co-authoring and collaborative activities
  3. have their own work as the focus of the work of the research student to be examined.
- 9.215 The Head of Department or their nominee shall be responsible for nominating the members of the examining team. The nomination of examiners for research students registered at an associated institution shall be the responsibility of that institution. The Head of Department or their nominee shall normally take advice from the supervisory team of the research student to be examined in identifying possible examiners, but the final decision shall rest with the Head of Department or their nominee. The Department shall not be required to consult with the research student to be examined in identifying possible examiners, but may do so where appropriate. The research student must under no circumstances approach possible examiners directly.
- 9.216 The appointment of all research degree examiners shall be subject to approval from the Dean of the Doctoral College.

### **Internal Examiners**

- 9.217 The internal examiner must be one of the following:
1. a member of the University's academic staff
  2. a research fellow of the University
  3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University.
- Internal examiners of research students registered at an associated institution may be a member of the staff of that institution. Other honorary and emeritus staff of the University shall not be appointed as internal examiners.
- 9.218 A member of the probation review panel of a research student registered for the degree of PhD, MD, PsyD, or MPhil may be appointed as the same student's internal examiner.
- 9.219 The internal examiner must have expertise relevant to the student's area of research and must be an experienced researcher – demonstrated through research publications – or have equivalent professional experience.
- 9.220 The internal examiner shall be responsible for:
1. making all arrangements for the viva voce examination, including any subsequent viva voce examination if the student is referred for resubmission, and communicating these arrangements to the research student and the external examiner(s)
  2. notifying the Doctoral College Office of the date and time at which the viva voce examination will take place

3. ensuring that they are familiar with these regulations and the decisions that the examining team may make on completion of the viva voce examination
4. undertaking an assessment of the thesis in advance of the viva voce examination and completing an independent pre-viva voce examination report which must be submitted to the Doctoral College Office at least one day before the viva voce examination takes place
5. conducting the viva voce examination with the external examiner(s) and agreeing with them a joint decision on completion of the examination
6. advising the research student of the decision made by the examining team
7. providing the research student with a verbal report (minor amendments) or written report (major amendments or referral for resubmission) on the changes and corrections to the thesis required by the examining team
8. preparing a joint post-viva voce examination report with the external examiner(s) and submitting this to the Doctoral College Office together with, if required, a copy of the written report on the changes and corrections to the thesis required by the examining team
9. assessing the changes and corrections made to the thesis by the research student and then confirming whether these have been completed satisfactorily if the examining team has required either minor or major amendments
10. assessing the resubmitted thesis and, if needed, conducting a further viva voce examination if the examining team has decided that the research student should be referred for resubmission.

#### **External Examiners**

- 9.221 The external examiner must not be a member of the University's staff or, in the case of research students registered at an associated institution, a member of the staff of that institution.
- 9.222 The external examiner must have expertise in the student's area of research and be an experienced researcher – demonstrated through research publications – and have experience of supervising and examining research students.
- 9.223 Former members of University staff may be appointed as external examiners provided that they continue to be actively engaged in research and there has been a period of at least three years between them leaving the University and the date of the viva voce examination. A longer period may be required if appropriate. Other honorary and emeritus staff of the University shall not be appointed as external examiners. Emeritus staff of another institution may be appointed as external examiners provided that they continue to be actively engaged in research.
- 9.224 The external examiner must not:
1. have been involved in the three years immediately before the viva voce examination in any collaborative project, including co-authoring, with any member of the supervisory team of the research student to be examined or any other member of the examining team
  2. have or have had a close personal relationship with any member of the staff of the research student's Department
  3. have or have had a close contractual relationship with any member of the staff of the research student's Department if this may give rise to a perception of a conflict of interest.
- 9.225 The external examiner shall be responsible for:
1. undertaking an assessment of the thesis in advance of the viva voce examination and completing an independent pre-viva voce examination report which must be submitted to the Doctoral College Office at least one day before the viva voce examination takes place
  2. conducting the viva voce examination with the internal examiner and agreeing with them a joint decision on completion of the examination

3. agreeing with the internal examiner the requirements for changes and corrections that the student will be asked to make to the thesis
4. preparing a joint post-viva voce examination report with the internal examiner
5. assessing the changes and corrections made to the thesis by the research student and then confirming whether these have been completed satisfactorily if the examining team does not include an internal examiner and has required either minor or major amendments
6. assessing the resubmitted thesis and, if needed, conducting a further viva voce examination if the examining team has decided that the research student should be referred for resubmission.

### Examination Chairs

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

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

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

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

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

9.230 The chair of the viva voce examination must not have or have had a close personal or contractual relationship with the research student to be examined, the research student's immediate family, or any member of the research student's supervisory team.

9.231 The Head of Department or their nominee shall be responsible for nominating the chair of the viva voce examination. The appointment of the chair of the viva voce examination shall be subject to approval from the Dean of the Doctoral College.

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

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

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

### Examination Conduct

- 9.233 Research degree viva voce examinations shall normally be held at the University, including appropriate University Hospitals of Leicester sites. In exceptional circumstances, and with the prior approval of the Dean of the Doctoral College, the viva voce examination may be held at another appropriate location.
- 9.234 The viva voce examination shall normally be held within three months of the examiners receiving the research student's thesis.
- 9.235 Only the research student, the examining team, and – if appointed – the examination chair, shall normally be present during the viva voce examination. Members of the research student's supervisory team may attend that student's viva voce examination as observers; the attendance of members of the supervisory team shall be at the discretion of the examining team and permitted only with the consent of the research student.
- 9.236 The research student's first supervisor shall normally be available at the time of the viva voce examination should they need to be contacted by the examining team.

### Examination Outcomes

- 9.237 The examiners shall on completion of the viva voce examination jointly make one of the following decisions:
1. to award the degree for which the research student was examined with distinction (research students examined for the degree of MD)
  2. to award the degree for which the research student was examined
  3. to award the degree for which the research student was examined subject to the satisfactory completion of minor amendments to the thesis
  4. to award the degree for which the research student was examined subject to the satisfactory completion of major amendments to the thesis
  5. to refer the research student for resubmission of the thesis for the same degree as which they were examined
  6. to award a degree lower than that for which the research student was examined (research students examined for the degree of PhD, DSocSci, or EdD)
  7. to award a degree lower than that for which the research student was examined subject to the satisfactory completion of minor amendments to the thesis (research students examined for the degree of PhD or EdD)
  8. to refer the research student for resubmission of the thesis for a degree lower than that for which they were examined (research students examined for the degree of PhD or EdD)
  9. to fail the thesis with no right of resubmission.
- 9.238 If the examining team is unable to agree a joint decision, advice must be sought from the Doctoral College Office as to whether an additional external examiner should be appointed and a further viva voce examination held.
- 9.239 The examining team may take into account the wishes of the research student if presented with a choice between a decision to:
1. refer the research student for resubmission of the thesis for the same degree as which they were examined
- or
2. award a degree lower than that for which the research student was examined
- The research student's wishes should be discussed at the time of the viva voce examination but the student shall not be required to provide an immediate response. The wishes of the research student



should be made known to the examining team before its decision is submitted to the Doctoral College Office. The examining team shall not be bound to follow the expressed wish of the research student.

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

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

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

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

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

1. the thesis meeting the requirements for the degree of MPhil (research students examined for the degree of PhD or EdD)
- or
2. the student having successfully completed the assessed components excluding the thesis and other programme requirements (research students examined for the degree of DSocSci or EdD).

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

1. undertake further research or repeat completed research  
and/or
2. re-write or restructure large parts of the thesis

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

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

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

1. to award the degree for which the research student was examined
2. to award the degree for which the research student was examined subject to the completion of minor amendments to the thesis

3. to award a degree lower than that for which the research student was examined (research students examined for the degree of PhD, DSocSci, or EdD)
  4. to award a degree lower than that for which the research student was examined subject to the completion of minor amendments to the thesis (research students examined for the degree of PhD or EdD)
  5. to fail the thesis with no right of resubmission
- 9.246 If the examining team decides following resubmission to award the degree for which the research student was examined subject to the completion of minor amendments, the amendments needed shall be as specified in 9.241.
- 9.247 If the examining team decides following resubmission to award a degree lower than that for which the research student was examined, this shall be conditional on the requirements specified in 9.243.
- 9.248 A decision to refer for resubmission a research student who was examined for the degree of PhD or MPhil on the basis of a practice-based thesis, or to require minor or major amendments to a practice-based thesis, may involve changes to the critical/reflective component of the thesis and/or the practice component.
- 9.249 Research students who are required to make minor or major amendments to the thesis or who are referred for resubmission of the thesis must not contact members of the examining team regarding the changes or corrections required. Research students who need clarification on any points relating to the changes or corrections required must seek advice from the supervisory team.

**Award and Conferral**

- 9.250 The research student shall receive formal notice of the award of the degree following receipt by the Doctoral College Office of a decision by the examining team that an award should be made.
- 9.251 The University may withhold the award of a research degree until such time as the research student has complied with all thesis final submission requirements, including submission to the University Library of an electronic copy of the thesis.
- 9.252 The conferral of the degree shall take place at the first appropriate degree congregation following award of the degree. Full academic dress must be worn when the research student is presented at the degree congregation.

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## Senate Regulation 9 (Appendix One): Regulations Governing Research Degree by Published Work Programmes

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### General

(1)9.1 These regulations shall apply to applicants and registered research students for the degree of Doctor of Philosophy (PhD) by Published Work or Doctor of Medicine (MD) by Published Work.

### Entry Requirement

(1)9.2 Applications for admission to a research degree by published work programme shall be considered in accordance with these regulations and any additional requirements specified in other Senate Regulations.

(1)9.3 The minimum entry requirement for a research degree by published work programme shall be an upper second class honours degree, or an equivalent overseas qualification, in a relevant subject.

(1)9.4 Applicants for a research degree by published work programme must be:

1. a current or former member of the University's academic staff who has at the date of application completed at least three years of full-time service or six years of part-time service with the University

or

2. a current or former clinical or scientific member of staff of the National Health Service, who has at the date of application held an honorary position with the University for a period of at least three years

or

3. with respect to the degree of MD by Published Work, a graduate in medicine of the University of at least three years standing.

(1)9.5 Research students registered for a research degree programme under Senate Regulation Nine may not transfer to a research degree by published work programme unless they meet the requirements specified in (1)9.4.

### Admission Decisions

(1)9.6 The applicant must provide an initial submission comprising:

1. a statement of around 1,000 words describing their contribution to knowledge and their suitability for a research degree by published work qualification
2. a complete list of their authored works
3. an indicative list of those works which the applicant intends to submit for examination, identifying
  - a. works which are the result of work undertaken by or with others and the nature of the applicant's contribution in each case
  - b. works which have previously been submitted by the applicant for a degree of the University or another institution
4. a complete curriculum vitae
5. the appropriate application form and registration fee

(1)9.7 An assessment by the Department using the initial submission shall be made of the applicant's suitability for a research degree by published work qualification.

(1)9.8 A decision to make an offer of admission to the degree of PhD by Published Work must be endorsed by two members of the Department's academic staff – normally the proposed academic adviser and the

Head of Department. Admissions decisions for the degree of MD by Published Work must be endorsed by the MD Degree Board of Studies.

- (1)9.9 A decision to make an offer of admission to a higher doctorate degree programme must not be made by staff who have or have had a close personal or professional relationship with the applicant or the applicant's immediate family.
- (1)9.10 If the applicant is not made an offer of admission to a research degree by published work programme, the Department shall be responsible for providing the applicant with written feedback on the reasons for this.
- (1)9.11 The formal offer of admission to the degree of PhD by Published Work must be made by the Doctoral College Office. The formal offer of admission to the degree of MD by Published Work must be made by the College Student Programmes Office.

#### **Initial Registration**

- (1)9.12 The research student shall be required as a condition of registration to abide by the Senate Regulations and all other regulations and procedures approved and amended from time to time by the University throughout the period of the research degree by published work programme.
- (1)9.13 The research student shall commence registration at an appropriate date with the agreement of the Department.

#### **Registration Periods**

- (1)9.14 Each research degree by published work programme shall have a specified maximum period of registration. The research student must submit the thesis for examination by the end of the maximum period of registration.
- (1)9.15 The maximum period of registration for all research degree by published work programmes shall be one year. The specified maximum period shall be calculated by reference to the research student's initial date of registration.
- (1)9.16 Research students shall not normally maintain registration beyond the maximum period. Research students who have experienced extenuating circumstances which are accepted by the University may be given an extension of registration beyond the specified maximum period.
- (1)9.17 Requests for an extension of registration must have the support of the Department and shall be subject to approval from the Dean of the Doctoral College or, in the case of research students registered for the degree of MD by Published Work, the MD Degree Board of Studies. The research student's registration shall not normally be extended for a period of more than six months. The research student must submit the thesis for examination by the end of the extension period. Standard extension fees shall be payable for the approved extension period.

#### **Suspensions of Programme**

- (1)9.18 Research students who have experienced extenuating circumstances which are accepted by the University may suspend their programme. A suspension is an approved period of absence from the research degree by published work programme.
- (1)9.19 Requests for a suspension of programme must have the support of the Department and shall be subject to approval from the Dean of the Doctoral College or, in the case of research students registered for the degree of MD by Published Work, the MD Degree Board of Studies.

#### **Access to Facilities**

- (1)9.20 Periods of suspension shall normally be at least three months in duration. Research students shall not normally suspend their programme for a period exceeding twelve months over the duration of the research degree programme. Research students returning from a period of suspension shall normally

resume their programme as of the first day of the relevant month. The suspension period shall not count towards the specified maximum registration period.

(1)9.21 Over the registration period the research student shall receive:

1. appropriate guidance from an allocated academic adviser
2. access to the University Library
3. a University IT account.

(1)9.22 Access to departmental facilities and resources over the registration period – including, but not restricted to, laboratories, office space, IT equipment, seminars, and induction and training events for research students – shall be permitted with the agreement of the Department and should normally be specified at the point that a formal offer of admission is made.

#### **Academic Guidance of Research Degree by Published Work Students**

(1)9.23 The Department must allocate an academic adviser for every research student. The academic adviser shall provide appropriate guidance on the development of the critical appraisal and, provided that it is presented within a reasonable and agreed timeframe, read and comment on the whole of the final draft of the critical appraisal before it is submitted for examination.

(1)9.24 A second academic adviser may be allocated if requested by the research student or required by the Department.

(1)9.25 The academic adviser(s) must be one of the following:

1. a member of the University's academic staff
2. a research fellow of the University
3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University.

Other honorary and emeritus staff of the University shall not be appointed as academic advisers.

(1)9.26 The academic adviser(s) must have expertise relevant to the student's area of research and appropriate experience of the supervision of research students.

(1)9.27 The Department must specify a named academic adviser at the point it makes a formal offer of admission to a research degree by published work programme.

(1)9.28 The Department must notify the research student and the Doctoral College Office in writing should it be necessary to change the allocated academic adviser(s) after a formal offer of admission has been made. The Head of Department or their nominee shall be responsible for making alternative academic adviser arrangements.

#### **Conflicts Of Interest**

(1)9.29 Academic advisers should not be allocated to, or be allowed to remain allocated to, a research student with whom they have or have had a close personal or professional relationship.

(1)9.30 The academic adviser must declare to the Head of Department or their nominee any close personal or professional relationship they have or have had with the research student. The Head of Department or their nominee shall be responsible for making alternative academic adviser arrangements.

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

(1)9.31 All students of the University shall be subject to the jurisdiction of the Senate, in respect both of their studies and their conduct. The Senate has the power to suspend, exclude, or expel any student deemed to have been guilty of misconduct or to impose such other penalties as may be appropriate.

(1)9.32 The research student shall have primary responsibility for the direction and progress of their work and for the delivery of a thesis of an appropriate standard within the specified maximum registration period.

(1)9.33 The responsibilities of the research student shall include:

1. completing initial registration as required
2. making time at the start of the registration period to discuss with the academic adviser the standard of work expected of research students and the respective roles and responsibilities of the research student and the academic adviser
3. making themselves familiar with relevant policies and procedures – in particular, with the Senate Regulations
4. developing a work plan that will enable them to make appropriate progress over the registration period
5. managing and sustaining progress in accordance with the work plan, including the submission to the academic adviser of interim work as required
6. recognising when they need help and taking the initiative in raising any concerns and problems as early as possible with the academic adviser or the Postgraduate Tutor
7. reflecting on and responding to feedback and guidance provided by the academic adviser with regards to the development of the critical appraisal
8. providing the academic adviser with a complete final draft of the critical appraisal by a mutually acceptable date in sufficient time before the required submission date for the academic adviser to read and comment on
9. ensuring that the thesis complies with all relevant regulations, including those on format and binding
10. submitting the thesis for examination on or before the final day of the specified maximum period of registration or the final day of an approved extension period
11. making appropriate preparations for the viva voce examination and attending the examination as required by the examining team.

### **Academic Honesty**

(1)9.34 The University's primary functions of teaching and research involve a search for knowledge and the truthful recording of the findings of that search. Any action that is knowingly taken by the research student which involves misrepresentation of the truth shall be considered as academic dishonesty and as such is an offence which the University believes should merit the application of very severe penalties.

(1)9.35 Students registered for the degree of PhD by Published Work or MD by Published Work must comply with the requirements on academic honesty as specified in Senate Regulation Nine.

### **Appeals and Complaints**

(1)9.36 The research student may appeal against an academic decision not to award a research degree by published work. Research students who wish to appeal against an academic decision of this type must submit a formal academic appeal as specified in Senate Regulation Ten.

(1)9.37 Research students who are dissatisfied with any element of the research degree by published work programme must raise any concerns at the time they occur and prior to submission of the thesis for examination. The research student must raise any such concerns with the academic adviser in the first instance. Research students who are dissatisfied with the response of the academic adviser should take

their concerns to the Postgraduate Tutor or the Head of Department. Research students who are unable to resolve difficulties through these routes may submit a formal complaint as specified in Senate Regulation Twelve.

### **Thesis Submission**

- (1)9.38 To be awarded the degree of Doctor of Philosophy by Published Work, the research student must satisfy the examiners by means of a thesis which comprises a substantial number of inter-related published works which form a coherent whole and which together make a distinct and original contribution to knowledge. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied.
- (1)9.39 To be awarded the degree of Doctor of Medicine by Published Work, the research student must satisfy the examiners by means of a thesis which comprises a substantial number of inter-related published works or clinical case studies which form a coherent whole and which together make a distinct and original contribution to knowledge. The research student must demonstrate a broad knowledge and understanding of their discipline and its associated research techniques and show that these have been successfully applied.

### **Thesis Format**

- (1)9.40 With the exception of short quotations for which an English translation is provided, the critical appraisal and the published works submitted for examination must be written in English unless the Dean of the Doctoral College has given approval prior to submission for examination for all or part of the thesis to be in another language.
- (1)9.41 The research student must provide the thesis with a title that is descriptive of the submission as a whole.
- (1)9.42 The critical appraisal should be of around 5,000 words and should describe the scope and content of the published works submitted for examination and the contribution to knowledge as evidenced by those works.
- (1)9.43 The number of published works submitted for examination shall not be specified. The published works submitted for examination should normally comprise a body of work at least equivalent in size to that represented by a typical doctoral thesis in the discipline.
- (1)9.44 Works submitted for examination must have been published or have been accepted for publication by the date of submission and should normally have been published or have been accepted for publication as/in a scholarly book or in a scholarly journal.
- (1)9.45 Works submitted for examination should normally have been published within a period of no more than ten years before the date of initial registration and the rate at which the work of the research student has been published may be considered as relevant by the examiners in their assessment of the thesis.
- (1)9.46 A substantial proportion of the research described in the published works comprising the thesis should normally have been undertaken over the duration of the research student's period of service with the University except for research students admitted under (1)9.4(3).
- (1)9.47 The critical appraisal must identify items submitted for examination which are the result of work undertaken by or with others and the nature of the research student's contribution in each case. A substantial proportion of the research described in the published works comprising the thesis must have been personally undertaken by the research student and the research student should normally be the first author for the majority of the items submitted for examination.

(1)9.48 The University may contact any co-authors and/or collaborators for advice on the nature of the research student's contribution to items submitted for examination which are the result of work undertaken by or with others.

(1)9.49 Works submitted for examination must not have been submitted by the research student for examination for a qualification at the University or another institution with the exception of submissions permitted under (1)9.77. The research student must indicate works which they or any co-authors and/or collaborators have submitted for examination for a degree of the University or another institution.

### **Copyright**

(1)9.50 The research student shall hold the copyright for their critical appraisal.

(1)9.51 The research student shall be responsible for ensuring that they comply with any requirements for their use of material to which a third party holds the copyright.

### **Thesis Submission**

(1)9.52 Research students submitting the thesis for examination must submit to the Doctoral College Office:

1. an electronic thesis copy comprising:
  - a. a title page that includes the following information
    - i. the full title of the thesis
    - ii. the research student's full name
    - iii. the name of the research student's Department
    - iv. the month and year in which the thesis was submitted for examination
  - b. acknowledgements page
  - c. table of published works submitted
  - d. critical appraisal
2. an electronic copy of works which together comprise the main body of the thesis and which have been labelled with:
  - a. the research student's full name
  - b. the degree for which the thesis was submitted for examination
  - c. the month and year in which the thesis was submitted for examination.

(1)9.53 Research students who following examination have been awarded a research degree by published work must submit to the Doctoral College Office:

1. an electronic thesis copy comprising:
  - a. a title page that includes the following information
    - i. the full title of the thesis
    - ii. the research student's full name
    - iii. the name of the research student's Department
    - iv. the month and year in which the thesis was submitted for examination
  - b. acknowledgements page
  - c. table of published works submitted
  - d. critical appraisal.



Any research degree thesis undertaken at the University of Leicester must, when printed, have a standard green cover (Aberlave Library Buckram No. 563).

- (1)9.54 Any research degree thesis undertaken at the University of Leicester must, when printed, be presented on good quality A4 paper. The pages must be printed on one side only and must have a margin of at least 3.5 centimetres on the left side of each page to allow for binding. All other margins must be of at least 2.5 centimetres. The text must be of good quality with 1.5 line spacing and should normally be in 12 point type.
- (1)9.55 Following the award of a degree, the electronic submission and a copy of the published works which together comprise the main body of the thesis shall be retained by the University and made available through the University Library.
- (1)9.56 A request to restrict access to the thesis may be made if the thesis includes work which has been accepted for publication but which has not yet been published. Thesis embargos shall be subject to approval from the Dean of the Doctoral College.

### **Thesis Examination**

- (1)9.57 The research student must successfully defend their thesis in a viva voce examination before a research degree by published work shall be awarded.

### **Examining Teams**

- (1)9.58 The viva voce examination must be conducted by an examining team. Each examining team shall comprise two external examiners.
- (1)9.59 External examiners must have expertise in the student's area of research and be an experienced researcher – demonstrated through research publications – and have experience of supervising and examining research students.
- (1)9.60 External examiners must not be a member of the University's staff.
- (1)9.61 Former members of University staff may be appointed as external examiners provided that they continue to be actively engaged in research and there has been a period of at least three years between them leaving the University and the date of the viva voce examination. A longer period may be required if appropriate. Other honorary and emeritus staff of the University shall not be appointed as external examiners. Emeritus staff of another institution may be appointed as external examiners provided that they continue to be actively engaged in research.
- (1)9.62 Members of the examining team must not:
1. have been involved in the three years immediately before the viva voce examination in any collaborative project, including co-authoring, with the academic adviser(s) of the research student to be examined or any other member of the examining team
  2. have or have had a close personal relationship with the research student to be examined, the student's academic adviser(s), any member of the staff of the student's Department, the other member of the examining team, or the chair of the viva voce examination
  3. have or have had a close contractual relationship with the research student to be examined or any member of the staff of that student's Department if this may give rise to a perception of a conflict of interest
  4. have had substantial involvement in the work of the research student to be examined – including substantial co-authoring and collaborative activities
  5. have their own work as the focus of the work of the research student to be examined.

(1)9.63 The Head of Department or their nominee shall be responsible for nominating members of the examining team. The appointment of research degree by published work examiners shall be subject to approval from the Dean of the Doctoral College.

(1)9.64 The examiners shall be responsible for:

1. ensuring that they are familiar with these regulations and the decisions that the examining team may make on completion of the viva voce examination
2. undertaking an assessment of the thesis in advance of the viva voce examination and completing independent pre-viva voce examination reports which must be submitted to the Doctoral College Office at least one day before the viva voce examination takes place
3. conducting the viva voce examination with the other member of the examining team and agreeing with them a joint decision on completion of the examination
4. advising the research student of the decision made by the examining team
5. producing a written report on the changes and corrections required by the examining team and submitting this to the Doctoral College Office if the research student is required to complete amendments to the critical appraisal
6. preparing a joint post-viva voce examination report with the other member of the examining team and submitting this to the Doctoral College Office
7. assessing the changes and corrections made by a research student who was required to complete amendments to the critical appraisal and confirming whether these have been completed satisfactorily
8. returning to the Doctoral College Office the published works submitted for examination.

#### **Examination Chairs**

(1)9.65 A chair for the viva voce examination must be appointed.

(1)9.66 The chair of the viva voce examination is not a member of the examining team and does not examine the thesis. The chair of the viva voce examination is present to ensure that the viva voce examination is conducted in accordance with these regulations and standard practice for the discipline.

(1)9.67 The chair must be a senior member of the University's academic staff who has previously examined at least one research student of the University.

(1)9.68 The research student's academic adviser must not be appointed as the chair for the same student's viva voce examination.

(1)9.69 The Head of Department or their nominee shall be responsible for nominating the chair of the viva voce examination. The appointment of the chair of the viva voce examination shall be subject to approval from the Dean of the Doctoral College.

(1)9.70 The chair of the viva voce examination shall be responsible for:

1. making all arrangements for the viva voce examination and communicating these arrangements to the research student and the examiners
2. notifying the Doctoral College Office of the date and time at which the viva voce examination will take place
3. providing the examining team with administrative and/or procedural advice as needed
4. ensuring that the examining team's joint decision on completion of the viva voce examination is consistent with the decisions permitted under these regulations.

#### **Examination Conduct**

(1)9.71 Research degree by published work viva voce examinations shall normally be held at the University, including appropriate University Hospitals of Leicester sites. In exceptional circumstances, and with the prior approval of the Dean of the Doctoral College, the viva voce examination may be held at another appropriate location.

(1)9.72 The viva voce examination shall normally be held within three months of the examiners receiving the research student's thesis.

(1)9.73 Only the research student, the examining team, and the examination chair shall normally be present during the viva voce examination. The research student's academic adviser may attend that student's viva voce examination as an observer; the attendance of the academic adviser shall be at the discretion of the examining team and permitted only with the consent of the research student.

### **Examination Outcomes**

(1)9.74 The examiners shall on completion of the viva voce examination jointly make one of the following decisions:

1. to award the degree for which the research student was examined with distinction (research students examined for the degree of MD by Published Work)
2. to award the degree for which the research student was examined
3. to award the degree for which the research student was examined subject to the satisfactory completion of amendments to the critical appraisal
4. not to award the degree for which the research student was examined.

(1)9.75 If the examining team is unable to agree a joint decision, advice must be sought from the Doctoral College Office.

(1)9.76 A decision to award a degree subject to the satisfactory completion of amendments to the critical appraisal shall involve amendments that are:

1. communicated in writing to the research student following the viva voce examination
2. completed and submitted to the examining team within a period of one to three months, as specified by the examiners, from the date at which the research student is provided with the examining team's post-viva voce examination report including details as to the changes and corrections required.

(1)9.77 Research students who following examination are not awarded the degree for which they were examined may submit a further application for admission to a research degree by published work programme provided that a period of at least two years has passed since the date of the viva voce examination. A further application for admission to a research degree by published work programme shall not be accepted should the research student not be awarded a degree at the second attempt.

### **Award and Conferral**

(1)9.78 The research student shall receive formal notice of the award of the degree following receipt by the Doctoral College Office of a decision by the examining team that an award should be made.

(1)9.79 The University may withhold the award of a research degree by published work until such time as the research student has complied with the final submission requirements specified in (1)9.53 to (1)9.54.

(1)9.80 The conferral of the degree shall take place at the first appropriate degree congregation following award of the degree. The research student must wear full academic dress when presented at the degree congregation.

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## Senate Regulation 9 (Appendix Two): Regulations Governing Higher Doctorate Degree Programmes

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(2)9.1 These regulations shall apply to applicants and registered candidates for the degree of Doctor of Laws (LLD), Doctor of Letters (DLitt), or Doctor of Science (DSc).

(2)9.2 These regulations shall not apply to the honorary award of higher doctorate degrees on the joint recommendation of the Senate and the Council.

### General Entry Requirement

(2)9.3 Applications for admission to a higher doctorate programme shall be considered in accordance with these regulations and any additional requirements specified in other Senate Regulations.

(2)9.4 Applicants for a higher doctorate degree must be:

1. a graduate of the University, or a graduate of the University of London whose degree was undertaken as a registered student of the University College of Leicester, provided that
  - a. the qualification was awarded at least eight years previously (Bachelors or Integrated Master's degree graduates)
  - or
  - b. the qualification was awarded at least seven years previously (Master's degree graduates)
  - or
  - c. the qualification was awarded at least six years previously (research degree graduates)
- or
2. a graduate of another university of at least eight years standing, provided that they are
  - a. a current or former member of the University's academic staff who has at the date of application completed at least three years of full-time service or six years of part-time service with the University
  - or
  - b. a current or former clinical or scientific member of staff of the National Health Service, who has at the date of application held an honorary position with the University for a period of at least three years.

### Admission Decisions

(2)9.5 The applicant must provide an initial submission comprising:

1. a statement of around 1,000 words describing their contribution to knowledge and their suitability for a higher doctorate qualification
2. a complete list of their authored works
3. an indicative list of those works which the applicant intends to submit for examination, identifying
  - a. works which are the result of work undertaken by or with others and the nature of the applicant's contribution in each case
  - b. works which have previously been submitted by the applicant for a degree of the University or another institution
4. a complete curriculum vitae
5. the specified application form and registration fee.

(2)9.6 An assessment using the initial submission shall be made of the applicant's suitability for a higher doctorate qualification.

- (2)9.7 The assessment of the initial submission must be conducted by a review panel comprising at least two members, one of whom should normally be the Head of Department. Other members of the review panel must be senior members of the University's academic staff with expertise relevant to the applicant's area of research.
- (2)9.8 A decision to make an offer of admission to a higher doctorate programme must be endorsed by the review panel and shall be subject to approval from the Dean of the Doctoral College.
- (2)9.9 A decision to make an offer of admission to a higher doctorate degree programme must not be made by staff who have or have had a close personal or professional relationship with the applicant or the applicant's immediate family.
- (2)9.10 If the applicant is not made an offer of admission to a higher doctorate programme, the review panel shall be responsible for providing the applicant with written feedback on the reasons for this.
- (2)9.11 The formal offer of admission to the degree of LLD, DLitt, or DSc must be made by the Doctoral College Office.

### **Registration**

- (2)9.12 The higher doctorate candidate shall be required as a condition of registration to abide by the Senate Regulations and all other regulations and procedures approved and amended from time to time by the University throughout the period of the higher doctorate programme.
- (2)9.13 The higher doctorate candidate shall commence registration at an appropriate date with the agreement of the Department.

### **Registration Periods**

- (2)9.14 Each higher doctorate programme shall have a specified maximum period of registration. The higher doctorate candidate must submit the thesis for examination by the end of the maximum period of registration.
- (2)9.15 The maximum period of registration for all higher doctorate programmes shall be one year. The specified maximum period shall be calculated by reference to the higher doctorate candidate's initial date of registration.
- (2)9.16 Higher doctorate candidates shall not normally maintain registration beyond the maximum period. Higher doctorate candidates who have experienced extenuating circumstances which are accepted by the University may be given an extension of registration beyond the specified maximum period.
- (2)9.17 Requests for an extension of registration must have the support of the Department and shall be subject to approval from the Dean of the Doctoral College. The higher doctorate candidate must submit the thesis for examination by the end of the extension period.

### **Suspension of Programme**

- (2)9.18 Higher doctorate candidates who have experienced extenuating circumstances which are accepted by the University may suspend their programme. A suspension is an approved period of absence from the higher doctorate programme.
- (2)9.19 Requests for a suspension of programme must have the support of the Department and shall be subject to approval from the Dean of the Doctoral College.
- (2)9.20 Periods of suspension shall normally be at least three months in duration. Higher doctorate candidates shall not normally suspend their programme for a period exceeding twelve months over the duration of the higher doctorate programme. Higher doctorate candidates returning from a period of suspension shall normally resume their programme as of the first day of the relevant month. The suspension period shall not count towards the specified maximum registration period.

### **Academic Guidance of Higher Doctorate Candidates**

(2)9.21 The Department must offer the higher doctorate candidate the allocation of an academic adviser who can provide appropriate guidance on the development of the critical appraisal and, provided that it is presented within a reasonable and agreed timeframe, can read and comment on the whole of the final draft of the critical appraisal before it is submitted for examination. The higher doctorate candidate shall decide whether or not to accept the offer of an allocated academic adviser.

(2)9.22 The academic adviser must be one of the following:

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

Other honorary and emeritus staff of the University shall not be appointed as academic advisers.

(2)9.23 The academic adviser must have expertise relevant to the higher doctorate candidate's area of research and appropriate experience of the supervision of research students.

#### **Conflict of Interest**

(2)9.24 Academic advisers should not be allocated to, or be allowed to remain allocated to, a higher doctorate candidate with whom they have or have had a close personal or professional relationship.

(2)9.25 The academic adviser must declare to the Head of Department or their nominee any close personal or professional relationship that they have or have had with the higher doctorate candidate. The Head of Department or their nominee shall be responsible for making alternative academic adviser arrangements.

#### **Responsibilities of Higher Doctorate Candidates**

(2)9.26 All students of the University, including higher doctorate candidates, shall be subject to the jurisdiction of the Senate, in respect both of their studies and their conduct. The Senate has the power to suspend, exclude, or expel any student deemed to have been guilty of misconduct or to impose such other penalties as may be appropriate.

(2)9.27 The higher doctorate candidate shall have primary responsibility for the direction and progress of their work and for the delivery of a thesis of an appropriate standard within the specified maximum registration period.

(2)9.28 The responsibilities of the higher doctorate candidate shall include:

1. completing initial registration as required
2. ensuring that the thesis complies with all relevant regulations, including those on format and binding
3. submitting the thesis for examination on or before the final day of the specified maximum period of registration or the final day of an approved extension period.

#### **Academic Honesty**

(2)9.29 The University's primary functions of teaching and research involve a search for knowledge and the truthful recording of the findings of that search. Any action that is knowingly taken by the higher doctorate candidate which involves misrepresentation of the truth shall be considered as academic dishonesty and as such is an offence which the University believes should merit the application of very severe penalties.

(2)9.30 Candidates registered for the degree of LLD, DLitt, or DSc must comply with the requirements on academic honesty as specified in Senate Regulation Nine.

### **Appeals and Complaints**

- (2)9.31 The candidate may appeal against an academic decision not to award a higher doctorate degree. Higher doctorate candidates who wish to appeal against an academic decision of this type must submit a formal academic appeal as specified in Senate Regulation Ten.
- (2)9.32 Higher doctorate candidates who are dissatisfied with any element of the higher doctorate programme must raise any concerns at the time they occur and prior to submission of the thesis for examination. The higher doctorate candidate must raise any such concerns with the Head of Department in the first instance. Higher doctorate candidates who are unable to resolve difficulties through this route may submit a formal complaint as specified in Senate Regulation Twelve.

### **Thesis Submission**

- (2)9.33 The degree of LLD, DLitt, or DSc shall be awarded to a registered candidate who has submitted a thesis comprising a critical appraisal together with works which are deemed by the examining team to constitute a sustained, substantial, original, and distinguished contribution to knowledge.

### **Thesis Format**

- (2)9.34 With the exception of short quotations for which an English translation is provided, the critical appraisal and the published works submitted for examination must be written in English unless the Dean of the Doctoral College has given approval prior to submission for examination for all or part of the thesis to be in another language.
- (2)9.35 The higher doctorate candidate must provide the thesis with a title that is descriptive of the submission as a whole.
- (2)9.36 The critical appraisal should be of around 10,000 words and should describe the scope of the higher doctorate candidate's research record and achievements and their contribution to knowledge as evidenced by the published works submitted for examination.
- (2)9.37 The number of published works submitted for examination shall not be specified. The published works submitted for examination should comprise a substantial body of work sufficient to demonstrate the candidate's suitability for the degree.
- (2)9.38 Works submitted for examination must have been published or have been accepted for publication by the date of submission and should normally have been published or have been accepted for publication as/in a scholarly book or in a scholarly journal.
- (2)9.39 The critical appraisal must identify any items submitted for examination which are the result of work undertaken by or with others and the nature of the higher doctorate candidate's contribution in each case. A substantial proportion of the research described in the published works comprising the thesis must have been personally undertaken by the higher doctorate candidate and the candidate should normally be the first author for the majority of the items submitted for examination.
- (2)9.40 The University may contact any co-authors and/or collaborators for advice on the nature of the higher doctorate candidate's contribution to items submitted for examination which are the result of work undertaken by or with others.
- (2)9.41 The critical appraisal must identify any works which the higher doctorate candidate or any co-authors and/or collaborators have submitted for examination for a degree of the University or another institution.

### **Thesis Submission**

- (2)9.42 Higher doctorate candidates submitting the thesis for examination must submit to the Doctoral College Office:
1. an electronic submission comprising

- a. a title page that includes the following information
    - i. the full title of the thesis
    - ii. the higher doctorate candidate's full name
    - iii. the name of the higher doctorate candidate's Department
    - iv. the month and year in which the thesis was submitted for examination
  - b. acknowledgements page
  - c. table of published works submitted
  - d. critical appraisal
2. electronic copies of the published works which together comprise the main body of the thesis and which have been labelled with
- a. the higher doctorate candidate's full name
  - b. the degree for which the thesis was submitted for examination
  - c. the month and year in which the thesis was submitted for examination.

(2)9.43 Higher doctorate candidates who following examination have been awarded a higher doctorate degree must submit to the Doctoral College Office:

1. one electronic submission comprising
  - a. a title page that includes the following information
    - i. the full title of the thesis
    - ii. the higher doctorate candidate's full name
    - iii. the name of the higher doctorate candidate's Department
    - iv. the month and year in which the thesis was submitted for examination
  - b. acknowledgements page
  - c. table of published works submitted
  - d. critical appraisal.

Any research degree thesis undertaken at the University of Leicester must, when printed, have a standard green cover (Aberlave Library Buckram No. 563).

(2)9.44 Printed theses must be presented on good quality A4 paper. The pages must be printed on one side only and must have a margin of at least 3.5 centimetres on the left side of each page to allow for binding. All other margins must be of at least 2.5 centimetres. The printed text must be of good quality with 1.5 line spacing and should normally be in 12 point type.

(2)9.45 Following the award of a degree, the electronic submission shall be retained by the University and made available through the University Library.

#### **Thesis Examination**

(2)9.46 A higher doctorate may be awarded on the basis of an examination of the written thesis without a viva voce examination.



(2)9.47 The examination shall normally be completed within six months of the examiners receiving the higher doctorate candidate's thesis.

### **Examining Teams**

(2)9.48 The examination must be conducted by an examining team. Each examining team must comprise three examiners. At least two members of the examining team must be external examiners.

(2)9.49 Members of the examining team must have expertise in the candidate's area of research and be an experienced researcher – demonstrated through research publications – and have experience of supervising and examining research students. Examiners shall be required to have seniority and experience appropriate for the examination of a higher doctorate candidate.

(2)9.50 Members of the examining team must not:

1. be the higher doctorate candidate's academic adviser (if allocated)
2. have or have had a close personal or contractual relationship with the higher doctorate candidate, the candidate's immediate family, the candidate's academic adviser (if allocated), or any other member of the examining team
3. have had substantial involvement in the work of the higher doctorate candidate whose work is to be examined – including substantial co-authoring and collaborative activities
4. have their own work as the focus of the work of the higher doctorate candidate which is to be examined

(2)9.51 The Head of Department or their nominee shall be responsible for nominating members of the examining team. The appointment of higher doctorate examiners shall be subject to approval from the Dean of the Doctoral College.

### **External Examiners**

(2)9.52 External examiners must not be a member of the University's staff.

(2)9.53 Former members of University staff may be appointed as external examiners provided that they continue to be actively engaged in research and there has been a period of at least three years between them leaving the University and the date of the examination. A longer period may be required if appropriate. Other honorary and emeritus staff of the University shall not be appointed as external examiners. Emeritus staff of another institution may be appointed as external examiners provided that they continue to be actively engaged in research.

(2)9.54 External examiners must not:

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

### **Internal Examiners**

(2)9.55 If appointed, internal examiners must be one of the following:

1. a member of the University's academic staff
2. a research fellow of the University
3. a clinical or scientific member of staff of the University Hospitals of Leicester National Health Service Trust, holding an honorary position with the University.

Other honorary and emeritus staff of the University shall not be appointed as internal examiners.

### **Responsibilities of Examiners**

(2)9.56 The examiners shall be responsible for:

1. ensuring that they are familiar with these regulations and the decisions that the examining team may make on completion of the examination
2. undertaking an examination of the thesis and completing independent examination reports
3. communicating with the other members of the examining team and agreeing with them a joint decision on completion of the examination
4. producing a written report on the changes and corrections required by the examining team and submitting this to the Doctoral College Office if the higher doctorate candidate is required to complete amendments to the critical appraisal
5. preparing a joint post-examination report with the other members of the examining team and submitting this to the Doctoral College Office
6. assessing the changes and corrections made by a higher doctorate candidate who was required to complete amendments to the critical appraisal and confirming whether these have been completed satisfactorily
7. returning to the Doctoral College Office the published works submitted for examination.

### **Examination Outcomes**

(2)9.57 The examiners shall on completion of the examination jointly make one of the following decisions:

1. to award the degree for which the higher doctorate candidate was examined
2. to award the degree for which the higher doctorate candidate was examined subject to the satisfactory completion of amendments to the critical appraisal
3. not to award the degree for which the higher doctorate candidate was examined.

(2)9.58 If the examining team is unable to agree a joint decision, advice must be sought from the Doctoral College Office.

(2)9.59 A decision to award a degree subject to the satisfactory completion of amendments to the critical appraisal shall involve amendments that are:

1. communicated in writing to the higher doctorate candidate following the examination
2. completed and submitted to the examining team within a period of one to three months, as specified by the examiners, from the date at which the higher doctorate candidate is provided with the examining team's post-examination report including details as to the changes and corrections required.

(2)9.60 Higher doctorate candidates who following examination are not awarded the degree for which they were examined may submit a further application for admission to a higher doctorate programme provided that a period of at least two years has passed since the date of the examination. A further application for admission to a higher doctorate programme shall not be accepted should the candidate not be awarded a degree at the second attempt.

### **Award and Conferral**

(2)9.61 The higher doctorate candidate shall receive formal notice of the award of the degree following receipt by the Doctoral College Office of a decision by the examining team that an award should be made.

(2)9.62 The University may withhold the award of a higher doctorate until such time as the higher doctorate candidate has complied with the final submission requirements specified in (2)9.43 to (2)9.44.

(2)9.63 The conferral of the degree shall take place at the first appropriate degree congregation following award of the degree. The higher doctorate candidate must wear full academic dress when presented at the degree congregation.

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## Senate Regulation 9 (Appendix Three): Regulations Governing Professional Doctorate Programmes

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### General

- (3)9.1 These regulations shall apply to professional doctorate students registered for the degree of Doctor of Clinical Psychology (DClinPsy), Doctor of Education (EdD), Doctor of Engineering (EngD), or Doctor of Social Science (DSocSci).
- (3)9.2 These regulations shall govern those requirements of professional doctorate programmes which differ from or are additional to those specified in Senate Regulation Nine (Regulations Governing Research Degree Programmes). In respect to all other matters, including assessment of the thesis, Senate Regulation Nine shall apply unless otherwise specified.

### Intermediate Qualifications

- (3)9.3 The Programme Director shall be responsible for the secure operation of assessment procedures and practices on professional doctorate programmes.
- (3)9.4 Professional doctorate programmes may have intermediate qualifications for professional doctorate students:
1. who do not meet the requirements for progression to the thesis stage of the programme  
or
  2. who progress to the thesis stage of the programme but do not meet the requirements for the award of a doctoral degree provided that they have met the specified requirements for the intermediate qualification.
- (3)9.5 Intermediate qualifications shall, if offered, be described in the programme specification.
- (3)9.6 The award and classification of intermediate qualifications on professional doctorate programmes, except the award of the degree of Master of Philosophy, shall be in accordance with the requirements specified in Senate Regulation Six.
- (3)9.7 The decision to award an intermediate qualification, except the decision to award the degree of Master of Philosophy, shall rest with the Board of Examiners.

### Marking of Assessed Work Excluding the Thesis

- (3)9.8 Marking shall be undertaken in accordance with agreed written criteria. All marking schemes and practices regardless of format should secure reliability and transparency through the use of assessment criteria, rubrics, or marking grids to which all markers and professional doctorate students shall have access.
- (3)9.9 Marking outcomes shall be measured against the written criteria and shall not be adjusted against a statistical distribution.
- (3)9.10 Assessed components which would not contribute to the award of an intermediate qualification may be marked on a pass/fail basis. Otherwise, the pass mark for assessed components shall be 50% except for:
1. specified professional competency tests for the degree of DClinPsy where the pass mark shall be 75%
  2. the probation review at the end of the second year for the degree of EdD where the pass mark shall be 60%.
- (3)9.11 Assessed components which would contribute to the award of an intermediate qualification shall be graded according to the mark achieved. The grading scheme shall be described in the programme specification.

(3)9.12 Professional doctorate students cannot carry an assessed component for which they fail to gain a pass mark or which is deemed to have failed for any reason. The markers shall normally recommend to the Board of Examiners that such students should have their registration terminated.

(3)9.13 The professional doctorate student shall be deemed to have failed an assessed component owing to non-submission if they do not submit the required assessed component.

(3)9.14 The professional doctorate student shall be deemed to have failed an assessed component owing to late submission if they:

1. submit the assessed component after the specified deadline without an approved extension  
or
2. submit the assessed component after the end of an approved extension period.

(3)9.15 Course results, module results, and assessed component results shall not be released to professional doctorate students who are in debt to the University.

### **Marking Practices**

(3)9.16 The Board of Examiners shall be responsible for the appropriateness of the marking practices for the assessed components of the degree excluding the thesis. The marking practices for professional doctorate programmes shall be reviewed through the annual and periodic review mechanisms.

(3)9.17 With the exception of assessed components that are marked automatically by electronic or other means, assessed components shall be subject to one or more of the following systems of moderation:

1. Double Marking – Two markers work to the same mark scheme; they may either
  - a. mark blind in parallel  
or
  - b. the second marker reviews the reliability of the first marker's grading and comments (rather than directly assessing the work itself)

An agreed mark must be reached for each piece of work. If it is not possible to reach an agreed mark, a third marker should be involved.

2. Sampling – Work is marked by the first marker and a sample of work is seen by the second marker who blind marks; samples can be a random selection, a stratified random sample from different grade boundaries, borderline cases between grade boundaries, or other sampling as appropriate; if it is not possible to reach an agreed mark, a third marker should be involved.
3. Moderation – Work is marked by the first marker; the second marker receives a full set of marks and a sample of work – the sample selected using one of the means described above – which can be used to test the robustness of the marking; the second marker does not directly assess the work itself
4. Blind Marking – Work is provided to the second marker or moderator as original copies without any grade or comments from the first marker

(3)9.18 Any first marking not undertaken by members of the University's academic staff or a member of staff of the National Health Service holding an honorary position with the University – such as first marking undertaken by an associate tutor – shall be subject to a system of moderation by a member of the University's academic staff or a member of staff of the National Health Service holding an honorary position with the University.

(3)9.19 With the exception of members of staff of the National Health Service holding an honorary position with the University, honorary and emeritus staff shall not be appointed as first or second markers or moderators. Current research students shall not be appointed as first or second markers or moderators.

(3)9.20 The markers shall be responsible for:

1. confirming that the approved system of moderation has been applied
2. approving provisional assessment component results for reporting to the Board of Examiners
3. approving re-submission opportunities with respect to the first submission of assessed components which fail to achieve a pass mark or which are deemed to have failed owing to non-submission or late submission
4. recommending to the Board of Examiners termination of registration with respect to assessed components which are deemed to have failed owing to plagiarism
5. recommending to the Board of Examiners termination of registration with respect to resubmitted assessed components which fail to achieve a pass mark or are deemed to have failed for any reason
6. recommending to the Board of Examiners termination of registration or transfer to a lower intermediate qualification with respect to professional doctorates students who do not meet the progression requirements specified in (3)9.34
7. agreeing the release of provisional assessment component results to professional doctorate students

(3)9.21 The markers shall make decisions on the basis of evidence of the professional doctorate student's achievement. Scaling or norm referencing of marks shall not be used. Marks which have been approved by the markers may not be adjusted except as specified in (3)9.53.

#### **Return of Marked Work and Feedback**

(3)9.22 The Programme Director shall be responsible for ensuring that the marking practices are in accordance with the University's Policy on the Return of Marked Work.

(3)9.23 Marked assessed components should be returned to the professional doctorate student with appropriate feedback to enable the student to identify both where they have demonstrated particular strengths and how they can improve their performance in subsequent assessed components.

(3)9.24 Professional doctorate students should be provided with a provisional mark and associated feedback on submitted assessed components within twenty-eight days from the date that the assessed component was submitted (DSocSci, EdD, and EngD degree programmes) or within forty-two days from the date that the assessed component was submitted (DClinPsy degree programme).

(3)9.25 In exceptional circumstances where marked assessed components cannot be returned within the specified period, the programme team shall notify the relevant professional doctorate students of the expected return date and the reasons for the longer turn-around time. The relevant professional doctorate students shall be provided with interim feedback where possible.

#### **Submission of Assessed Work Excluding the Thesis**

(3)9.26 The professional doctorate student shall be required to comply with such requirements for the submission of assessed components as are specified by the programme team.

(3)9.27 The professional doctorate student shall be required to submit assessed components for assessment by the specified deadline.

(3)9.28 The professional doctorate student shall be responsible for seeking advice from the programme team if they are unclear on any aspect of the requirements for the submission of assessed components.

#### **Re-Submission of Assessed Components**

- (3)9.29 Professional doctorate students shall be given one opportunity to re-submit an assessed component which fails to achieve a pass mark or which is deemed to have failed owing to non-submission or late submission.
- (3)9.30 Professional doctorate students who submit an assessed component which achieves a pass mark shall not be given the opportunity to re-submit this regardless of any mitigating circumstances that may have affected their academic performance.
- (3)9.31 Professional doctorate students shall not be given the opportunity to re-submit an assessed component which is deemed to have failed owing to plagiarism or academic dishonesty. The markers shall recommend to the Board of Examiners that the professional doctorate student's registration should be terminated.
- (3)9.32 Unless the assessed component is marked on a pass/fail basis, the mark for re-submitted assessed components shall be capped at 50% except for:
1. specified professional competency tests for the degree of DClInPsy where the mark shall be capped at 75%
  2. the probation review at the end of the second year for the degree of EdD where the mark shall not be capped
- (3)9.33 The professional doctorate student shall not be allowed a second re-submission opportunity if the re-submitted assessed component fails to achieve a pass mark or is deemed to have failed for any reason. The markers shall normally recommend to the Board of Examiners that the student should have their registration terminated.
- (3)9.34 Professional doctorate students shall not normally be permitted to continue with the doctorate programme if they fail to meet the specified progression requirements:
1. professional doctorate students registered for the degree of DClInPsy who fail at the first submission to gain a pass mark for more than one assessed component shall have their progress reviewed by the Board of Examiners who may decide to terminate the student's registration
  2. professional doctorate students registered for the degree of EdD shall not be permitted to continue to the thesis stage of the programme should they fail to achieve a mark of at least 60% in the probation review at the end of the second year of the programme; the markers shall normally recommend to the Board of Examiners that such students should be permitted the opportunity to meet the requirements for a lower intermediate qualification
  3. professional doctorate students registered for the degree of DSocSci, EdD, or EngD shall not be permitted to continue to the thesis stage of the programme should they fail at the first submission to gain a pass mark for more than two assessed components; the markers shall normally recommend to the Board of Examiners that such students should be permitted the opportunity to meet the requirements for a lower intermediate qualification.

#### **Late Submission of Assessed Components**

- (3)9.35 Professional doctorate students who have experienced extenuating circumstances which are accepted by the University may be given an extension to the submission or re-submission period and allowed to submit an assessed component later than the specified deadline. Requests for an extension to the submission or re-submission period should be submitted in good time before the specified submission date and shall be subject to approval from the Programme Director.
- (3)9.36 Extensions to the submission or re-submission period shall be approved only if the professional doctorate student has experienced unforeseen and/or unpreventable circumstances likely to affect their ability to submit an assessed component by the specified deadline.
- (3)9.37 The professional doctorate student shall be responsible for providing such evidence in support of their request as is required by the University and this evidence must relate to the relevant period. Such

evidence must be in English or submitted with a certified English translation. Evidence relating to circumstances of a medical nature must be from a qualified medical practitioner. The University may require independent verification of evidence submitted in support of a request for an extension to the submission or re-submission period for an assessed component.

- (3)9.38 Extensions to the submission or re-submission period shall not be approved more than once in respect to each specific assessed component.
- (3)9.39 The Programme Director shall specify the duration of the extension period. The extension period shall not exceed fourteen days from the original deadline for submission or re-submission. Professional doctorate students registered for the degree of DClInPsy may at the discretion of the Programme Director be given a longer extension in respect of assessed components relating to clinical case studies and where the extension is required owing to difficulties in identifying a suitable case.
- (3)9.40 Professional doctorate students who believe that their circumstances are such that they cannot submit the assessed component within the maximum permitted extension period should submit a claim of mitigating circumstances as specified in (3)9.42 to (3)9.55.
- (3)9.41 The Programme Director may initiate proceedings for neglect of academic obligations as specified in Senate Regulation Nine where recurrent requests for extensions give rise to concerns regarding the academic progress of the professional doctorate student.

#### **Mitigating Circumstances for Assessed Components Excluding the Thesis**

- (3)9.42 Professional doctorate students must notify their department of any circumstances that may adversely affect their ability to complete the specified assessed components. All claims of mitigating circumstances must be received by the programme team no more than five working days after the specified submission deadline for the assessed component or, if applicable, the end of an approved extension period. Claims of mitigating circumstances that are received after that time shall not be considered. The professional doctorate student shall be responsible for ensuring that the claim of mitigating circumstances has been received on time.
- (3)9.43 Professional doctorate students may submit a claim of mitigating circumstances for their assessment performance:
1. in respect of assessed components that:
    - a. fail to achieve a pass mark
    - or
    - b. were deemed to have failed owing to non-submission or late submission
  - or
  2. in respect of assessed components which could not be submitted within the maximum permitted extension period
- (3)9.44 Professional doctorate students may not submit a claim of mitigating circumstances for their assessment performance in respect of assessed components that:
1. achieved a pass mark
  - or
  2. were deemed to have failed owing to plagiarism or academic dishonesty
- (3)9.45 The Board of Examiners shall normally be responsible for considering claims of mitigating circumstances in respect of assessed components. A Mitigating Circumstances Panel, operating under delegated authority from the Board of Examiners, shall be convened if the programme team is satisfied that there is a good reason for a decision in respect to a claim of mitigating circumstances to be taken earlier than the next meeting of the Board of Examiners.



(3)9.46 The membership of the Mitigating Circumstances Panel shall be subject to approval by the Programme Director or their nominee and must comprise at least two academic members of the programme team or programme markers.

(3)9.47 The Board of Examiners/Mitigating Circumstances Panel shall accept claims of mitigating circumstances in respect of assessed components only where:

1. the circumstances described were
  - a. unforeseen and/or unpreventable
  - b. significant in nature
  - c. likely to have had a significant adverse effect on the academic performance of the professional doctorate student
2. the professional doctorate student has provided all appropriate evidence in support of the claim.

(3)9.48 The professional doctorate student shall be responsible for providing such evidence in support of their request as is required by the University and this evidence must relate to the relevant period. Such evidence must be in English or submitted with a certified English translation. Evidence relating to circumstances of a medical nature must be from a qualified medical practitioner. The University may require independent verification of evidence submitted in support of a claim of mitigating circumstance.

(3)9.49 In considering a claim of mitigating circumstances the Board of Examiners/Mitigating Circumstances Panel may consider as relevant:

1. what efforts had been made by the professional doctorate student at the time to notify the programme team of their circumstances
2. whether the professional doctorate student had requested an extension to the specified submission or re-submission period
3. whether the professional doctorate student had requested a suspension of their registration
4. whether there had been any reasonable adjustment(s) to the assessment arrangements owing to the professional doctorate student having a specific learning difficulty, disability, or long-term medical condition
5. whether there are any fitness to practice concerns and whether the circumstances merit initiation of fitness to practice proceedings (DClinPsy only).

(3)9.50 The Board of Examiners/Mitigating Circumstances Panel shall on completion of consideration of a claim of mitigating circumstances make one of the following decisions:

1. to accept the claim of mitigating circumstances
2. to reject the claim of mitigating circumstances.

(3)9.51 If the claim of mitigating circumstances is accepted, the Board of Examiners/Mitigating Circumstances Panel shall normally require the professional doctorate student to repeat the relevant assessed component(s) without penalties:

1. where the mitigating circumstances have been accepted in relation to the original submission of an assessed component, the student shall be given a further opportunity to submit this with no cap on the marks awarded; a subsequent re-submission shall be permitted where appropriate
2. where the mitigating circumstances have been accepted in relation to the re-submission of an assessed component the student shall be given a further opportunity to re-submit this and the mark shall be capped at the minimum required for a pass; a further re-submission shall not be permitted.

(3)9.52 In exceptional circumstances and only if it is impracticable to require the professional doctorate student to repeat the assessed component, the Board of Examiners may require the professional

doctorate student to complete an alternative form of assessment through which the student can demonstrate achievement of the same intended learning outcomes. Mitigating Circumstances Panels may not approve the completion of an alternative form of assessment in such cases but may make a recommendation to the Board of Examiners to this effect.

- (3)9.53 In exceptional circumstances and only if the professional doctorate student is unable through illness or other sufficient cause to repeat the assessed component or complete an alternative form of assessment, the Board of Examiners may award a pass mark for the assessed component if the student has in other successfully completed assessed components demonstrated achievement of the same intended learning outcomes sufficient for an overall mark to be derived. The derivation of an overall mark in this way shall be used only to allow the professional doctorate student to satisfy the requirements for an intermediate qualification and shall not be used to enable the student to continue with the doctoral programme. Mitigating Circumstances Panels may not approve the derivation of an overall mark in such cases but may make a recommendation to the Board of Examiners to this effect.
- (3)9.54 If the claim of mitigating circumstances is rejected, the professional doctorate student may submit a formal academic appeal as specified in Senate Regulation Ten.
- (3)9.55 A decision on a claim of mitigating circumstances that has been taken by a Mitigating Circumstances Panel shall be documented and reported to the next meeting of the Board of Examiners.

#### **Specific Learning Difficulties, Disability, and Long-Term Medical Conditions**

- (3)9.56 Professional doctorate students are encouraged to notify the University if they have a specific learning difficulty, disability, or long-term medical condition that will or may have an effect on their academic performance or ability to meet the programme requirements.
- (3)9.57 Professional doctorate students who have a specific learning difficulty, disability, or long-term medical condition are encouraged to make use as needed of the support and resources available through the AccessAbility Centre.
- (3)9.58 Professional doctorate students who have notified the University that they have a specific learning difficulty, disability, or long-term medical condition may request reasonable adjustment(s) to the assessment arrangements. Requests for reasonable adjustment(s) to the arrangements for the assessed components of the degree excluding the thesis shall be subject to approval from the Programme Director who may require an assessment of the professional doctorate student's needs by the AccessAbility Centre or an external assessor.
- (3)9.59 The approval of reasonable adjustment(s) to the assessment arrangements shall be on the condition that the academic standards of the programme are maintained. Any approved reasonable adjustment(s) shall be made up to the point of assessment and a specific learning difficulty, disability, or long-term medical condition shall not be considered in the marking of an assessed component.
- (3)9.60 Professional doctorate students who experience a marked deterioration in a pre-existing condition that will or may have an effect on their academic performance in a specific assessed component may suspend their registration in accordance with the requirements specified in Senate Regulation Nine or, in respect of assessed components that fail to achieve a pass mark or were deemed to have failed owing to late submission or non-submission, submit a claim of mitigating circumstances as specified in (3)9.42 to (3)9.55.
- (3)9.61 The programme team may initiate fitness to practice proceedings in respect of professional doctorate students registered for the degree of DClInPsy whose medical circumstances may compromise their clinical practice.

#### **External Examining for Assessed Components Excluding the Thesis**

- (3)9.62 External examiners shall be appointed to provide impartial and informed comment on the academic standards of the programme and on professional doctorate student achievement in relation to those standards.

(3)9.63 There shall be at least one external examiner for each professional doctorate programme. The total number of external examiners to be appointed must be sufficient to cover the full range and complexity of the syllabus and the size of the professional doctorate student cohort.

(3)9.64 External examiners must not be:

1. members of staff of an associated institution
2. honorary or emeritus staff of the University
3. former staff or students of the University unless a period of at least five years has elapsed.

(3)9.65 External examiners must not:

1. have or have had a close personal, professional, or contractual relationship with any member of the programme team including the programme markers
2. have or have had a close personal, professional, or contractual relationship with a professional doctorate student registered on that programme
3. be or know that they will be in a position to influence significantly the future of professional doctorate students registered on that programme
4. hold concurrently more than two external examiner appointments at the University or another institution excluding appointments as external examiner for a research student viva voce examination.

(3)9.66 Staff from the same department and institution shall not be appointed as external examiners for the same professional doctorate programme where their terms of appointment would be concurrent. An external examiner whose term of appointment has ended shall not be directly succeeded by a member of staff from the same department and institution.

(3)9.67 Retired and emeritus staff of another institution may be appointed as external examiners provided that they can demonstrate continuing involvement in the discipline and familiarity with current developments in higher education teaching, learning, and assessment.

(3)9.68 The Programme Director shall be responsible for nominating external examiners. The appointment of all external examiners shall be subject to approval from the Senate.

(3)9.69 The nomination of an external examiner shall demonstrate evidence of:

1. knowledge and understanding of the UK higher education sector's agreed reference points for the maintenance of academic standards and quality assurance and enhancement
2. competence and experience in the relevant area(s) covered by the professional doctorate programme
3. relevant academic experience to at least the level of the qualification to be examined as well as relevant professional/practitioner experience as appropriate
4. competence and experience in the design and operation of a variety of assessment activities appropriate to the discipline and the assessment activities used on the programme
5. standing, credibility, and breadth of experience within the discipline sufficient to command the respect of academic peers and, where appropriate, professional peers
6. familiarity with the standard of academic achievement professional doctorate students are required to demonstrate in order to achieve the qualification to be examined
7. appropriate English language proficiency
8. compliance with any applicable criteria specified by relevant professional, statutory, or regulatory bodies

9. awareness of current developments in the design and delivery of relevant curricula
10. competence and experience relating to the enhancement of the student learning experience.

### **Term of Appointment**

- (3)9.70 The term of appointment for external examiners shall normally be four years. An extension of no more than one year may be approved by the Senate where this is needed to ensure continuity in the delivery and/or assessment processes of the programme.
- (3)9.71 The external examiner shall not normally be reappointed to the same programme. In exceptional circumstances where reappointment is proposed, a period of at least five years must have elapsed since the end date of the previous appointment.
- (3)9.72 The University may terminate the appointment of an external examiner should they fail to meet the specified requirements of the role.

### **Responsibilities of External Examiners**

- 3)9.73 External examiners shall be provided by the programme team with evidence of the intended assessment patterns and assessment instruments sufficient to determine the appropriateness of the assessment strategy.
- (3)9.74 External examiners shall be provided by the programme team with samples of the assessed work submitted by professional doctorate students together with the agreed marks of the markers sufficient to determine whether the markers have properly assessed student performance against the specified marking criteria. Samples of work submitted by professional doctorate students should be sufficient to provide confidence in the standard of marking and constitute a sample across the range of student achievement.
- (3)9.75 External examiners should be consulted regarding access to non-written assessed components and attendance at any live assessment events. External examiners may be required to attend non-written assessed components regardless of location.
- (3)9.76 External examiners shall be required to provide informative comment and recommendations as to whether or not:
1. the University is maintaining the threshold academic standards for its awards in accordance with the Framework for Higher Education Qualifications and relevant subject benchmark statements
  2. the assessment process measures professional doctorate student achievement rigorously and fairly against the intended learning outcomes of the programme and is conducted in accordance with the University's policies and regulations
  3. the academic standard and the achievement of professional doctorate students on the programme are comparable with those on equivalent programmes at other higher education institutions with which the external examiner is familiar.
- (3)9.77 External examiners are invited to comment on the standard of marking against the written criteria but may not seek, or be invited, to raise or lower the marks of individual professional doctorate students. External examiners may ask for marks across a full cohort to be reconsidered by markers against the written criteria if they consider that there is evidence to suggest under- or over-marking or they have concerns about the robustness of marking.

### **External Examiner Reports**

- (3)9.78 The external examiner shall at the end of each annual assessment cycle submit a written report to the Vice-Chancellor. The report shall:

1. confirm whether the University is maintaining the threshold academic standards for its awards in accordance with the Framework for Higher Education Qualifications and relevant subject benchmark statements
2. confirm whether the assessment process measures professional doctorate student achievement rigorously and fairly against the intended learning outcomes of the programme and is conducted in accordance with the University's policies and regulations
3. confirm whether the academic standard and the achievement of professional doctorate students on the programme are comparable with those on equivalent programmes at other higher education institutions with which the external examiner is familiar
4. confirm whether the external examiner received sufficient information and/or evidence to fulfil their role
5. state whether issues and/or concerns raised by the external examiner in previous reports have been appropriately addressed
6. address any issues specifically required by any relevant professional, statutory, or regulatory bodies
7. provide an overview report at the end of the external examiner's term of appointment.

(3)9.79 The University reserves the right to reject the view(s) of the external examiner but shall do so only after careful consideration of the issue(s) raised.

(3)9.80 The external examiner may if needed raise in confidence directly with the Vice-Chancellor any matters of serious concern.

(3)9.81 The external examiner may invoke the Quality Assurance Agency's Concerns Scheme or inform the relevant professional, statutory, or regulatory bodies if they have a serious concern relating to systemic failings with the academic standards of the professional doctorate programme and they have exhausted all published applicable University procedures, including the submission of a confidential report to the Vice-Chancellor.

(3)9.82 With the exception of any matters which the external examiner has raised in confidence directly with the Vice-Chancellor, external examiner reports shall be made available in full to students and others.

(3)9.83 The Senate shall receive from the Academic Policy Committee an annual digest of the comments made by the external examiners for all professional doctorate programmes and shall use these to identify issues where further action may be needed.

#### **Boards of Examiners for Assessed Components Excluding the Thesis**

(3)9.84 A Board of Examiners shall be convened for each professional doctorate programme. The Board of Examiners shall be directly responsible to the Senate for the conduct of its business.

(3)9.85 The Board of Examiners shall be responsible for:

1. confirming the provisional assessment component results of professional doctorate students registered for that programme
2. considering and confirming the academic performance of individual professional doctorate students as it relates to progression or award decisions – including decisions to award an intermediate qualification or to terminate registration
3. receiving reports on claims of mitigating circumstances that have been accepted by a Mitigating Circumstances Panel or where a Mitigating Circumstances Panel has made a recommendation for the Board's approval
4. considering and deciding on claims of mitigating circumstances not considered by a Mitigating Circumstances Panel.

(3)9.86 The membership of the Board of Examiners shall be agreed annually.

(3)9.87 The Board of Examiners shall comprise:

1. a Chair who shall normally be the Programme Director or another senior member of the Department's academic staff appointed by the Programme Director or Head of Department
2. at least two markers from the programme team both of whom are either members of the University's academic staff or members of staff of the National Health Service holding an honorary position with the University
3. other members of the University's academic staff nominated by the Programme Director or Head of Department as needed to ensure that the Board can make informed progression and award decisions
4. the external examiner(s) for the professional doctorate programme.

(3)9.88 The Board of Examiners shall meet at least annually. Meetings of the Board of Examiners must be attended by all those members specified in (3)9.87(1) to 9.87(3). Meetings where required members are absent shall be declared inquorate and rescheduled.

(3)9.89 The external examiner(s) for the professional doctorate programme shall normally attend all meetings of the Board of Examiners. External examiners who cannot attend a meeting of the Board of Examiners shall be required to submit for consideration at the meeting written comments on the module outcomes and the performance of professional doctorate students.

(3)9.90 The Department shall provide a secretary to attend each meeting of the Board of Examiners. The secretary shall be responsible for recording the decisions of the Board and for providing a written account of the Board's discussions in relation to any difficult cases.

(3)9.91 All members of the Board of Examiners, including external examiners, are equal and shall participate in the transaction of the Board's business. If in any specific case a vote of the Board's members is needed, the Chair shall have the casting vote.

(3)9.92 The Board of Examiners shall make decisions on the basis of evidence of professional doctorate student achievement. The Board of Examiners shall not adjust marks for any individual student or group of students except as specified in (3)9.53.

(3)9.93 External examiners shall be invited to endorse the decisions of the Board of Examiners to indicate that they are satisfied with the conduct of the assessment process rather than to indicate agreement with each individual assessment decision.

(3)9.94 The Board of Examiners may defer a decision in relation to an individual professional doctorate student where it does not hold sufficient information about the student's academic record and/or any claim of mitigating circumstances. The Board of Examiners may authorise the Chair to make that decision on its behalf at the earliest subsequent opportunity. The Board of Examiners may not authorise the Chair to make a decision to award an intermediate qualification.