



UNIVERSITY OF  
**LINCOLN**

**Research Degrees Regulations  
2017 / 2018**

## **Research Degrees Regulations 2017/2018**

These regulations govern the progression and award of postgraduate research degrees at the University of Lincoln.

These regulations supersede all previous regulations governing the progression and award of postgraduate research degrees at the University of Lincoln, which are hereby revoked.

1 August 2017

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## **1. General**

- 1.1 The following section establishes the conditions under which the University of Lincoln (hereinafter referred to as the 'University') shall award the degrees of Masters by Research (MSc by Research, MA by Research), Master of Philosophy (MPhil), and Doctor of Philosophy (PhD), PhD by Publication, Doctor of Philosophy (Professional) and Doctor of Education (EdD).
- 1.2 These Regulations come into force on 1 August 2017 and their provisions apply to all students enrolling on or after that date. Their provisions also apply to students enrolled before 1 August 2017 to the extent that they do not detract from the rights afforded to students under the Regulations in force on 31 July 2017.
- 1.3 These Regulations supplement the University General Regulations, which also apply to all research degree awards.
- 1.4 The College Research Degrees Board (CRDB) is the Board of Examiners for all research degrees.
- 1.5 A student who wishes to make any change to their programme of studies shall submit a request to the relevant CRDB. If approved, the request shall be deemed to take effect from the date the request is submitted to the School Office for consideration.

## **2. MA/MSc by Research, MPhil and PhD**

### MA/MSc by Research

- 2.1 The degree of MA or MSc by Research is awarded to a student who, having completed a period of supervised research, embodies that research in a thesis that has normally been assessed by a successful oral examination of the candidate. A rationale for proposals around alternative assessment formats or proposals not to hold an oral examination shall be submitted to the CRDB for approval.
  - 2.1.1 A successful candidate for the degree of MA/MSc by Research shall demonstrate through the presentation of a scholarly thesis and normally by oral examination:
    - a) a systematic and critical understanding of a body of knowledge in the academic discipline, field of study or creative domain to which the research relates;
    - b) an understanding of the research techniques in the relevant academic discipline, field of study or creative domain to which the research relates;
    - c) application of knowledge and research techniques;
    - d) critical evaluation of the subject of the research.

### MPhil

- 2.2 The degree of MPhil is awarded to a student who, having completed a period of supervised research, embodies that research in a thesis that has been assessed by a successful oral examination of the candidate. A rationale for proposals around

alternative assessment formats (e.g. performance, film or exhibition) shall be submitted to the CRDB for approval.

- 2.2.1 A successful candidate for the degree of MPhil shall demonstrate through the presentation of a scholarly thesis and by oral examination:
- (a) a systematic and critical understanding of a substantial body of knowledge in the academic discipline, field of study or creative domain to which the research relates;
  - (b) a comprehensive understanding of the research techniques in the relevant academic discipline, field of study or creative domain to which the research relates;
  - (c) originality in the application of knowledge and research techniques;
  - (d) critical evaluation of the subject of the research.

### PhD

- 2.3 The degree of PhD is awarded to a student who, having completed a period of supervised research, embodies that research in a thesis that has been assessed by a successful oral examination of the candidate. A rationale for proposals around alternative assessment formats (e.g. performance, film or exhibition) shall be submitted to the CRDB for approval.
- 2.3.1 A successful candidate for the degree of PhD shall demonstrate through the presentation of a scholarly thesis and by oral examination:
- (a) a systematic and critical understanding of the body of knowledge at the forefront of the academic discipline, field of study or creative domain to which the research relates;
  - (b) a detailed understanding of research techniques consistent with advanced academic enquiry in the relevant academic discipline, field of study or creative domain to which the research relates;
  - (c) the ability to conceive, implement and, where appropriate, modify a plan of research capable of creating new knowledge at the forefront of the academic discipline, field of study or creative domain;
  - (d) an original contribution to the body of knowledge of an academic discipline, field of study or academic domain in a way that extends the forefront of that academic discipline, field of study or creative domain and which would warrant publication in the judgment of peers;

### MA/MSc by Research, MPhil and PhD

- 2.4 The CRDB shall satisfy itself that the student has adequately undertaken the appropriate research and professional skills training identified in the initial Training Needs Analysis and has identified progress against research objectives.
- 2.5 A candidate for the above degrees may submit other work in part fulfilment of the obligation to submit a thesis with the approval of the CRDB.

### **3. MA/MSc by Practice-Based Research, MPhil by Practice, PhD by Practice**

- 3.1 A candidate for the degree of MA/MSc by Practice-based Research, MPhil by Practice or PhD by Practice may submit other work in part fulfilment of the obligation to submit a thesis with the approval of the CRDB. A practice-based research degree entails a practitioner producing a body of work accompanied by a written thesis. Appropriate records (aural, visual etc.) of the practice, together with commentaries, will then comprise the main body of the portfolio submitted in place of the thesis for examination. The thesis must establish, in a way that can be assessed by oral examination, that the portfolio constitutes a coherent body of original work and that the student fulfils all other requirements for the conferment of the requisite degree (see section 2).
- 3.2 The CRDB shall determine whether the student is required to undertake research and professional skills training and, if so, the arrangements for research and professional skills training.
- 3.3 Except in the submission of a body of work related to practice, a candidate for the practice-based degree shall satisfy all other requirements of these regulations, including the minimum and maximum periods of registration for full-time and part-time modes of study.

### **4. Enrolment**

- 4.1 Enrolment establishes an individual's status as a student of the University.
- 4.2 Enrolment is the agreement between the University and the student under which:
- (a) The University provides a programme of studies for the student and makes available to the student other academic services and facilities associated with that programme of studies;
  - (b) The University confers the award for which the student is registered where the student satisfies the CRDB of their entitlement to receive that award;
  - (c) The University and the student agree to be bound by the University's regulations;
  - (d) The student undertakes to pay the fee for the programme of studies and any other charges levied by the University in respect of the programme of studies and the provision of other academic services and facilities associated with the programme of studies. Students are expected to pay their fees, or make arrangements for the future payment of fees, at enrolment;
  - (e) The student undertakes to do anything else required by the University that concerns the student's following of a programme of studies, receipt of other academic services and the use of facilities associated with a programme of studies;
- 4.3 An individual is not certified as a student until they have completed the relevant enrolment process as requested by the University and their enrolment has been

approved by a designated member of staff of the University. At this point, a student becomes registered with the University.

4.4 An individual who is not registered as a student of the University shall not be allowed to follow any part of the programme of studies and shall not be considered at the relevant CRDB.

4.5 The periods of registration shall normally be as follows:

	<b>Minimum</b>	<b>Maximum</b>
<b>MA/MSc by Research</b>		
full-time	9 months	16 months
part-time	14 months	24 months
<b>MPhil</b>		
full-time	18 months	32 months
part-time	27 months	48 months
<b>PhD (via transfer from MPhil and including that period of registration)</b>		
full-time	27 months	48 months
part-time	41 months	72 months
<b>PhD (direct)</b>		
full-time	27 months	48 months
part-time	41 months	72 months

4.6 A student may enrol on a full-time or part-time basis. Where a student enrolls for a full-time programme, they shall be expected to devote as much time to the research as would be given to full-time employment.

4.7 The end date of registration will be the date of first submission of the student's thesis.

4.8 Re-enrolment will take place annually within one month of the anniversary of the first enrolment. Re-enrolment is subject to successful progression and eligible students who fail to re-enrol may be deemed by the University to have terminated their registration, and the University's obligations to them.

4.9 Student who have submitted their thesis for examination must continue to re-enrol annually within one month of the anniversary of the first enrolment to fulfil the agreement between the University and the student under section 4.2.

4.10 Students approaching their maximum registration may, in exceptional circumstances, apply for an extension of their registration up to 6 months in total. Requests for extension must be submitted to the CRDB together with independent supporting evidence and a plan of work with timescales for completion. Students claiming extenuating circumstances will need to do so in the normal way (see Part P the University General Regulations).

### **Transfer from Other Institutions**

4.11 A student may transfer their postgraduate research studies from another institution; such students will be required to apply through the normal postgraduate research admissions process. Admitted students must normally be registered for a minimum of 12 months full-time or 24 months part-time regardless of the stage of their studies at the previous institution. The CRDB shall determine the period of registration.

## **5. Attendance**

- 5.1 Students on postgraduate research programmes are expected to be demonstrably engaged with their studies.
- 5.2 Each School is responsible for monitoring student attendance and postgraduate research students are expected to engage with supervisors and actively participate in regular supervision, which for full-time students supervision should take place at least monthly and for part-time students at least every two months. This level of engagement is also expected for students whose status is 'thesis pending' and during post-examination amendments up to the time that the degree is awarded by the CRDB.
- 5.3 Students withdrawn on the grounds of attendance via the Student Engagement and Participation Policy have a right to appeal the decision. Details of how to appeal can be found in Part O of the University General Regulations.

## **6. Progression**

- 6.1 For all research degrees, the CRDB shall identify progress against research objectives and any required skills training. Progress records shall be confirmed by the CRDB at least annually. The Board shall satisfy itself on the basis of:
  - (a) submission of satisfactory Confirmation of Studies and, where appropriate and possible, evidence of ethical approval or its submission for approval, within four months of enrolment for full-time students, or eight months for part-time students or;
  - (b) submission of a satisfactory Annual Report form thereafter (on transfer from MPhil to PhD, a satisfactory Transfer Report is deemed also to constitute a satisfactory Annual Report for the purposes of this regulation, if it is approved at the normal interval for an Annual Report) or
  - (c) submission of a satisfactory Annual Report form where a) and b) have been fulfilled previously.
- 6.2 Upon receipt of the progress record and any additional information that it has required, the CRDB shall:
  - (a) confirm whether the academic progression of the student shall continue;
  - (b) require itself to be satisfied as to any other academic matters it thinks fit in relation to the research programme.
- 6.3 Where, having reviewed a student's progress, the CRDB approves progression, the student shall complete the University's procedures for re-enrolment where required.
- 6.4 If progression is not approved the student will be required to undertake remedial actions as determined by the CRDB before its next meeting. If progression is not approved at that point the student will be withdrawn from their programme on the grounds of academic failure.



## **7. Extenuating Circumstances**

- 7.1 Extenuating circumstances are exceptional and, normally, unforeseen circumstances, beyond a student's control, which may have had a serious and adverse effect upon their performance. Information about extenuating circumstances is located within Part P of the University General Regulations.

## **8. Supervision**

- 8.1 Supervisors shall have completed mandatory supervisory training prior to supervising a student. If a supervisor has been appointed to the University within the past six months they must demonstrate a) prior completions or evidence of prior supervisory training completed elsewhere, and b) undertake University supervisory training within a further twelve months. Where a supervisor is currently employed outside of the University, evidence of supervisory training from elsewhere will suffice.
- 8.2 A team shall be appointed to supervise the student. The student's supervisory team shall consist of at least two supervisors, at least one of whom shall have experience of supervising the relevant or higher research degree to completion. For students enrolled on an MPhil with the possibility of transfer to PhD, this would normally mean experience of supervision to PhD completion.
- 8.3 One supervisor shall be the Director of Studies (first supervisor) with responsibility for supervision of the student on a regular and frequent basis in accordance with section 5.2.
- 8.4 The CRDB shall confirm whether the arrangements for the supervision of a programme are adequate at the time of consideration of the student's confirmation of studies.
- 8.5 The CRDB shall be notified of any proposals to change the supervisory arrangements for a programme of research and shall decide whether to approve such changes.
- 8.6 A student for a research degree of the University shall be ineligible to act as a Director of Studies for another research degree student but may act as a second supervisor or adviser. Such supervisors or advisers shall be able to demonstrate recent relevant research experience comparable with the level of the degree being supervised.

## **9. Transfer of Research Degree**

- 9.1 Transfer requests must be made within twelve months from first registration for full-time and twenty-four months from first registration for part-time students. A CRDB may require that remedial work be undertaken before a request can be approved and in such a case the work will need to be completed within three months for full-time and six months for part-time students from the date of the CRDB. Where an application is declined on its second submission, the CRDB will decide to either withdraw the student or offer an alternative qualification route. No further transfer requests will be considered.
- 9.2 When a student enrolled for a MA/MSc by Research wishes to transfer to either an MPhil only or an MPhil with the possibility of transfer to PhD, or when a student enrolled for either an MPhil only or an MPhil with the possibility of transfer to PhD wishes to transfer to PhD, the following shall apply:

- (a) The student shall prepare a report in support of the request. The report should demonstrate that the work has progressed sufficiently, provide evidence of the development towards the higher degree and include a proposal for future work. The report shall be signed by the student's supervisors and endorsed as appropriate;
- (b) A small sub-group of appropriate academic staff nominated by the relevant School PGR Committee (normally comprising two or three members) shall meet with the student to explore the merits of the proposed transfer. Normally, at least one member of the sub-group shall be experienced in making judgments regarding the transition between research degrees. The student's Director of Studies, or another nominated member of the supervisory team, may attend the sub-group in an advisory capacity only and will not be part of the decision-making process.
- (c) The sub-group shall make a recommendation to the CRDB as to whether the student should be allowed to transfer to the higher degree requested. The CRDB may request further information from the student's supervisors before making a final decision.

#### Transfer to a Lower Award

- 9.3 Any student who is registered for the degree of PhD and who is unable to complete the approved programme of research may, at any time prior to the submission of the thesis for examination, apply to the CRDB to be registered as a candidate for an MPhil or MA/MSc by Research. Any candidate registered for the degree of MPhil may similarly apply for enrolment for MA/MSc by Research.
- 9.4 In the case of such transfer of enrolment, the latest date for completion shall be determined as follows:
- (a) If the student is within twelve months (full-time) or eighteen months (part-time) of the original latest completion date, that date shall stand, or;
  - (b) If the student is more than twelve months (full-time) or eighteen months (part-time) prior to the latest completion date that would have been applied had they been enrolled on the new programme of research from the outset, then that latest completion date shall be applied.

If neither a) nor b) applies, a new latest completion date twelve months (full-time) or eighteen months (part-time) from the date of the CRDB that approves the transfer shall apply.

## **10. Examinations**

- 10.1 The decision to present the thesis for examination is the sole responsibility of the student.
- 10.2 A student shall normally be examined orally on the thesis. Where for reasons of sickness, disability or comparable valid cause the CRDB is satisfied that a student would be under serious disadvantage if required to undergo an oral examination, an alternative interactive examination may be approved. Such approval shall not be given on the grounds that the student's knowledge of the language in which the thesis is presented is inadequate.

- 10.3 An Independent Chair, appointed by the External Examiners' Committee, must be present at all oral examinations. Their role includes the following:
- (a) to attend the oral examination and ensure fairness in the way it is conducted;
  - (b) to ensure that the University's regulations are adhered to;
  - (c) to ensure that the outcome of the oral examination is appropriately communicated to both the student and the relevant entities in the University.

The Independent Chair is not expected to read the thesis, make any contribution to its evaluation at any stage or to contribute to the academic judgment on the outcome of the oral examination.

- 10.4 In any instance where the CRDB is made aware by the Independent Chair of a failure to comply with all the procedures of the examination process, it may annul the examination and direct such arrangements as it sees fit for the conduct of the examination.
- 10.5 The CRDB shall make a decision on the reports and recommendation of the Examiners in respect of the student.

## **11. Examiners**

- 11.1 The Examiners shall normally be appointed by the External Examiners' Committee at least six months prior to planned thesis submission or at the stage that the student applies for thesis pending status, whichever is earlier.
- 11.2 A student shall be examined by at least two Examiners, at least one of whom will be an External Examiner. Staff candidates shall be examined by three Examiners, at least two of whom shall be External Examiners.
- 11.3 An Internal Examiner shall be either:
- (a) a member of staff of the University; or
  - (b) a member of staff of the student's Collaborating Establishment.
- 11.4 A person who has supervised the student, acted as an advisor during the student's period of studies or been part of their Transfer panel shall not be appointed as an Examiner.
- 11.5 Examiners shall be experienced in research in the general area of the student's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.
- 11.6 For MPhil or PhD, at least one Examiner shall have substantial experience (that is, normally three or more previous examinations as either an internal or external examiner) of examining research degree students at the appropriate level or above.

For MA/MSc by Research, at least one Examiner shall either have experience (that is, one or more previous examinations as either an internal or external examiner) of examining research degrees at the appropriate level or above, or substantial experience of examining the research element of taught Masters programmes.

- 11.7 An External Examiner shall be independent of the University and any collaborating establishment that the student has worked with during their programme of studies. For MPhil or PhD, the External Examiner shall not normally be an External Examiner on a taught course in the same department or School at the University in which the student is registered. Former University staff shall not normally be approved as External Examiners until at least four years have elapsed after cessation of their employment with the University.

For MPhil or PhD, the External Examiners' Committee shall ensure that the same External Examiner is not approved so frequently that their familiarity with the School/department might bias their judgment.

- 11.8 No student who is not a member of University staff shall act as an Examiner.

## **12. First Examination**

- 12.1 It is expected that any oral or alternative form of examination shall normally take place within 4 months of submission of the thesis.
- 12.2 Each Examiner shall read and examine the thesis and submit an independent preliminary report before any oral or alternative form of examination is held. In completing the preliminary report, each Examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (set out in section 2) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.
- 12.3 Following the oral examination the Examiners shall, where they are in agreement, submit a joint report and recommendation relating to the award of the degree to the CRDB. The preliminary reports and joint recommendation of the Examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the CRDB to satisfy itself that the recommendation chosen in paragraph 12.4 is correct.
- 12.4 Following the completion of the examination, the Examiners shall recommend to the CRDB that the student is:
- (a) awarded the degree; or
  - (b) awarded the degree subject to minor amendments being made to the thesis (amendments to be completed within one month of notification by the CRDB); or
  - (c) awarded the degree subject to substantive amendments being made to the thesis, (to be completed within six months of notification by the CRDB); or
  - (d) not awarded the degree but given the opportunity to be re-examined for that degree (see section 13); or
  - (e) not awarded the degree and not permitted to be re-examined for that degree; however, the Examiners may recommend to the CRDB that the student is awarded a lower degree reflecting the standard of work achieved.

Where the student has submitted for the degree of PhD but has not attained the PhD standard as cited in section 2.3.1, the Examiners may recommend that the student is awarded the degree of MPhil where they are satisfied that the MPhil standard, as cited

in section 2.2.1, has been met. This recommendation may be subject to minor amendments being made to the thesis. No other award may be recommended.

Where the student has submitted for the degree of MPhil but has not attained the MPhil standard as cited in section 2.2.1, the Examiners may recommend that the student is awarded the degree of MA/MSc by Research where they are satisfied that the standard, as cited in section 2.1.1, has been met. This recommendation may be subject to minor amendments being made to the thesis. No other award may be recommended.

- 12.5 Where the Examiners' recommendations are not unanimous separate reports and recommendations shall be submitted; the CRDB may:
- (a) accept a majority recommendation (provided that the majority recommendation includes at least one External Examiner);
  - (b) accept the recommendation of the External Examiner; or
  - (c) require the appointment of an additional External Examiner.
- 12.6 Where an additional External Examiner is appointed under paragraph 12.5 (c) they shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral (or other agreed alternative) examination. That Examiner shall not be informed of the recommendations of the other Examiners. On receipt of the report from the additional Examiner the CRDB shall make its decision in accordance with paragraph 10.5.
- 12.7 In paragraph 12.4, the term 'minor amendment' includes amendments to grammar, typography, notation, number and format and the provision of minor clarifications. The number of such amendments or clarifications shall not affect their nature as minor amendments.
- 12.8 In paragraph 12.4, the term 'substantive amendment' refers to the need to correct an error or a number of interconnected errors, in a central principle, technique or method or any other amendments or further clarification as required.
- 12.9 Where the Examiners are agreed that subject to minor or substantive amendments to the thesis the student shall be awarded the degree, the CRDB shall notify the student in writing of the nature of the required amendments. The student shall submit their amendments to the relevant School Office. It is a matter for the Examiners to decide whether such amendments are approved by one or more members of the examining team. Confirmation of approval of the amendments shall rest with the CRDB.
- 12.10 Where the CRDB agrees with the Examiners' recommendation that the degree not be awarded and that no re-examination be permitted, the Examiners shall prepare an agreed statement of the deficiencies of the thesis and the reasons for their recommendation, which shall be forwarded to the student by the CRDB.
- 12.11 Examiners may indicate informally their recommendation on the result of the examination to the student but they shall make it clear that the final decision rests with the CRDB.

### **13. Re-Examination**

- 13.1 Following the first examination, there are three kinds of recommendation that the Examiners can make regarding re-examination (only one re-examination may be permitted by the CRDB):
- (a) where they judge the student's performance in the oral (or approved alternative) examination as satisfactory but the written thesis as unsatisfactory, they may recommend to the CRDB that the student be re-examined on the basis of their written thesis only;
  - (b) where they judge the student's performance in both the oral (or approved alternative) examination and the written thesis as unsatisfactory, they may recommend to the CRDB that re-examination of the student should include the thesis and an oral (or approved alternative) examination;
  - (c) where they judge the written thesis as satisfactory but the performance in the oral (or approved alternative) as unsatisfactory, they shall recommend to the CRDB the form of re-examination, subject to time limits described in sections 13.4 and 13.6.
- 13.2 The CRDB may require that an additional or alternative External Examiner be appointed for the re-examination.

#### PhD and MPhil

- 13.3 Where a form of re-examination under 13.1 has been approved by the CRDB, the student shall submit the thesis for re-examination no later than 10 months from the date of notification by the CRDB.
- 13.4 Any oral (or approved alternative) re-examination shall normally take place within 12 months from the date of notification by the CRDB but not before resubmission of the thesis.

#### MA/MSc by Research

- 13.5 Where a form of re-examination under 13.1 has been approved by the CRDB, the student shall submit the thesis for re-examination no later than 4 months from the date of notification by the CRDB.
- 13.6 Any oral (or approved alternative) re-examination shall normally take place within 6 months from the date of notification by the CRDB but not before resubmission of the thesis.

#### General

- 13.7 Following completion of the re-examination, the Examiners shall recommend to the CRDB that the student is:
- (a) awarded the degree; or
  - (b) awarded the degree subject to amendments being made to the thesis as specified in writing by the Examiners and within 3 months of notification by the CRDB; or,
  - (c) not awarded the degree; or

- (d) awarded a lower degree reflecting the standard of work achieved; the conditions regarding the award of a lower degree as set out in section 12.4 (e) apply.
- 13.8 It is a matter for the Examiners to decide whether such amendments are approved by one or more members of the examining team. Confirmation of approval of the amendments shall rest with the CRDB.
- 13.9 Examiners may indicate informally their recommendation on the result of the examination to the student, but they shall make it clear that the final decision rests with the CRDB.
- 13.10 Where the Examiners' recommendations are not unanimous, the CRDB shall consider all reports and may require the appointment of an additional External Examiner.
- 13.11 Where an additional External Examiner is appointed under paragraph 13.10, they shall prepare an independent preliminary report on the basis of the thesis, and, if necessary, may conduct a further oral (or approved alternative) examination. The additional External Examiner shall not be informed of the recommendation of the other Examiners. The CRDB shall make a decision on the report and recommendation of the additional examiner.
- 13.12 Where the CRDB agrees with the Examiners' recommendation that the degree not be awarded and that no re-examination be permitted, the Examiners shall prepare an agreed statement of the deficiencies of the examination and the reason for their recommendation, which shall be forwarded to the student by the CRDB.

## **14. The Thesis**

- 14.1 The text of the thesis shall not exceed the following limits on length (excluding ancillary data);
  - (a) 80,000 words for a PhD
  - (b) 40,000 words for an MPhil
  - (c) 25,000 words for a MA/MSc by Research
  - (d) 25,000 to 40,000 words for a PhD by Practice
  - (e) 25,000 words for an MPhil by Practice
  - (f) 15,000 words for an MA/MSc by Practice-based Research

### **Submission of the Thesis for Examination**

- 14.2 The student must submit two loose bound copies of the written thesis (or one for each Examiner where there is more than two Examiners) to the appropriate School Office for examination.
- 14.3 The thesis must be submitted in the following format. Fuller guidance can be located in the British Standards Specification BS 4821 (1990). Where these regulations differ in points of detail from BS 4821 the student may follow either.

- (a) Except with permission from the CRDB the thesis must be presented in English. Where the thesis is presented in a language other than English, a summary in English shall be included comprising up to 4,000 words.
- (b) An abstract comprising no more than 500 words must be bound into the thesis which shall provide a synopsis of the thesis, the nature and scope of the work and the original contribution to knowledge.
- (c) A loose copy of the abstract must be submitted with the thesis which includes the name of the author, the degree for which the thesis is submitted and the title of the thesis as a heading.
- (d) Where the work has been part of a collaborative group project, the thesis must clearly indicate the student's individual contribution and the extent of the collaboration.
- (e) Theses must be submitted in A4 format except with the permission of the CRDB.
- (f) Theses must be presented in a permanent and legible form in either typescript or print. The size and character in the main text shall not be less than 2mm for capitals and 1.5mm for x-height (i.e. the height of lower case x).
- (g) The thesis must be printed on the recto side of the page only; the paper must be white and within the 70g/m<sup>2</sup> to 100g/m<sup>2</sup> range.
- (h) Where the use of coloured maps, diagrams or other illustrative material is integral to the comprehension of the argument, these must be reproduced in colour in the thesis.
- (i) The margin at the left hand binding edge of the page must be not less than 40mm; other margins must be not less than 15mm.
- (j) Double or one-and-a-half spacing must be used in the typescript except for indented quotations or footnotes where single spacing may be used.
- (k) Pages must be numbered consecutively through the main text including photographs and/or diagrams included as whole pages.
- (l) The main title page must provide the following information:
  - a. The full title of the thesis
  - b. The full name of the author
  - c. The award for which the thesis is submitted
  - d. The collaborating establishment (if any)
  - e. The name of the student's School and College
  - f. The month and year of submission

### **Submission of the Final Thesis**

- 14.4 A candidate for a research degree must provide a permanently bound final version of the thesis (adhering to the formatting in section 14.3) together with an electronic copy within one month following either successful examination or after receiving confirmation in writing of their award after satisfactory completion of required amendments.



- 14.5 Electronic copies will be published on the University's repository site.
- 14.6 Any copies of the thesis (bound or electronic) submitted to the University remain the property of the University.

### **Confidentiality of the Thesis**

- 14.7 Exceptionally, the CRDB may agree that a thesis should remain confidential for a period of time on the written request of the student (which must accompany the thesis at the time of submission). The period of time shall not normally exceed two years.
- 14.8 Where a CRDB has agreed that a thesis may remain confidential the thesis, immediately on submission, shall only be made available to those directly involved in the supervision of the student or the examination process. This includes the examiners and members of the CRDB.
- 14.9 On completion of the examination process, the final copies of the thesis (see 15.4) shall be held by the College Office and only released to the relevant libraries at the end of the period of confidentiality approved by the CRDB.

### **15. Aegrotat and Posthumous Awards**

- 15.1 In a situation where a student's performance has been seriously adversely affected by ill health the University Regulations permit a CRDB to make an Aegrotat award of the degree in question.
- 15.2 A CRDB should recommend conferment of such an award only in the following circumstances:
- The student has given written permission to accept such an award
  - The Board is assured that the student is unable, because of serious ill health, to complete their research work and thesis preparation in order to be assessed in the normal manner
  - There is substantial and sufficient evidence available that the student has the ability and potential to achieve their chosen research degree award were it not for the extenuating circumstances
  - There is significant evidence available in the form of a draft thesis or draft components of a thesis (or other documents or products of research) that the student would have been capable of producing a scholarly thesis of the required standard
  - There is evidence available from the duration of registration and the quality of results achieved to date that the student has demonstrated a significant capacity to undertake original research and would in normal circumstances have been able to meet all the criteria for the award in question as specified in the award regulations.
- 15.3 Where it will not be possible for a thesis to be examined or an oral examination to be carried out, the CRDB shall recommend the appointment of examiners to the External Examiners' Committee. The CRDB should request the examiners to review the

evidence available and to recommend whether an Aegrotat award is merited taking into account the student's special circumstances.

- 15.4 A research degree may be awarded posthumously to a candidate when a draft thesis has been produced but the final assessment has not taken place. The CRDB shall recommend the appointment of examiners to the External Examiners' Committee to review the thesis material and assure themselves and the Board that the student would have been successful if it had been possible for the examination to take place in the normal manner.

## **16. Appeal against the Examination Decisions of the College Research Degrees Board**

See Part B of the University General Regulations.

## **17. Regulations Governing Academic Offences**

- 17.1 Where appropriate, allegations of misconduct in research shall be dealt with under the UK Research Integrity's Office procedure for the investigation of misconduct in research and not under the University's Academic Offences Regulations.
- 17.2 Information about academic offences is located within Part A of the University General Regulations.

## **Annex A – Interruption of Study**

A student may interrupt their study at any time during an academic year.

A student may ask their Director of Studies to approve a period(s) of interruption to their studies totalling no more than two years across the duration of the award. Where approved, the period(s) of interruption shall be added to the student's original term of registration on the programme. The interruption will be reported to the CRDB.

Students seeking periods of interruption that would result in an overall total of more than two years (including any periods of interruption already taken) must submit a claim to the Extenuating Circumstances Panel (ECP). Where the ECP accepts the student's claim of adverse circumstances as valid, it will so advise the CRDB, which will consider the student's request for interruption on that basis.

A student's anniversary of enrolment shall be recalculated according to the length of the period of interruption.

Tuition fee liability in the interruption year shall be calculated at 100% of the full tuition fee rate for that year of enrolment.

Students interrupting shall not be liable for tuition fees until their recalculated anniversary of enrolment.

### Maternity Leave

Students are entitled to up to 12 months maternity leave, with a mandatory period of 2 weeks. Any maternity leave is in addition to the maximum 2 years of interruptions available to students.

It is the responsibility of the student to notify their Director of Studies and for members of staff only, Human Resources of their pregnancy.

Students must also notify Student Administration by requesting maternity leave through the current interruption process. In the request they must provide details of the date on which they intend to start maternity-related absence and the date on which they intend to return. This should be done at least 15 weeks before the due date.

The agreed date that the student intends to return may change during the course of the absence and students should notify their Director of Studies and Student Administration as soon as possible of any change in their expected return date.

In exceptional circumstances students may need to extend the length of maternity leave that they take beyond the standard time allowed.

### Students in Receipt of a Studentship

Students in receipt of a stipend paid through a studentship awarded by the University of Lincoln may continue to be paid when a student takes maternity leave. The level and length of payment will be based on the current rate of statutory maternity pay, the level of the student's stipend payment and the length of time the student has been enrolled on their programme of study. If students do not return to their studentship after taking maternity leave they may be required to pay back the stipend payments received during their maternity leave.

### Paternity Leave

Students are entitled to up to 2 weeks of Paternity leave taken in one week blocks, which must be agreed by their Director of Studies and recorded on their annual leave record.

### Additional Paternity Leave

Students that are in the early stages of fatherhood and are fulfilling the role of primary carer i.e. caring for a child during the first 12 months of their childhood can access additional paternity leave to fulfil this early year fatherhood role. Additional paternity leave is available for up to the 1<sup>st</sup> birthday of the child and must be taken in one continuous block and agreed with the Director of Studies with a minimum of 8 weeks advance notice.

Any paternity leave is in addition to the maximum 2 years of interruptions available to students.

Where relevant, UKVI requirements in relation to Tier 4 visas will supersede the University's regulations.

Additional information regarding interruption of studies for Professional Doctorate students can be found in Annex C.

## **Annex B**

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

#### **University of Lincoln Staff**

1. A member of staff of the University shall be eligible to be considered as a candidate for the degree of Doctor of Philosophy on the basis of the submission of published work provided they have:
  - (i) held an appointment in the University for a continuous period of at least one year at the time of submission and have proven evidence of publications;
  - (ii) the study and research carried out by the candidate must have formed a significant contribution to the published work.
2. The staff funding application process shall be in accordance with the University's Programme of Study Funding Scheme. Staff should apply for funding when they have amassed the necessary published work.
3. Staff funding applications shall be considered by the relevant Panel with support from the relevant Head of College and a decision shall be made on the basis of available budget and priorities and whether the application meets the admissions criteria bearing in mind the criteria normally applicable to examinations for the degree of Doctor of Philosophy, whether by thesis or on the basis of published work (see section 2.3 of the Research Degree Regulations).

#### **Non-Staff Applications**

4. Non-staff applications for the degree of PhD by Published Work shall be considered in accordance with section 10.

#### **Submission for the Degree of Doctor of Philosophy on the Basis of Published Work**

5. The published work submitted should be broadly comparable to a PhD thesis in the same discipline, so that it is evidently the result of a sustained level of recent research activity normally in a single field of study to which it makes an original contribution. The submission of published work shall be accompanied by a commentary which establishes, in a way that can be assessed by oral examination, that the published work constitutes a coherent body of work and that the candidate fulfils all other requirements for the conferment of the degree of PhD.
6. The submission shall consist of a collection of published material including papers, chapters, monographs or books. The publication of papers shall normally have taken place in refereed journals, or other journals held in high standing by academics working in the relevant field. Books, monographs, and chapters in books shall normally have been published by established publishing houses that apply a peer review process or other recognised publishing media which are acceptable to the relevant College. The publications submitted shall normally relate to work undertaken during a minimum period of three years.
7. Work shall only be regarded as published if at the time of submission copies of the work are generally obtainable through normal sources, such as publishing houses, bookshops and academic libraries. Proofs of papers not yet published but accepted for

publication are acceptable. However, reports or other documents prepared for organisations such as private companies, government departments or charities or for internal University purposes are not acceptable unless they have been published widely outside the organisation for which they were prepared.

8. The candidate shall submit:
  - (i) a list of the published works submitted;
  - (ii) an accompanying commentary concerning the work submitted and setting out the proposed basis for the award of the degree and placing the work in its wider context. The commentary shall be up to 15,000 words in length and constitute a critical review stating: the aims and nature of the research, wider disciplinary perspectives, the inter-relationship between the material published and the main contribution and/or addition to knowledge of the works, and offering a critical appraisal of the work from a micro and macro perspective, to be undertaken to demonstrate that the candidate has subjected their work to scrutiny and review at the individual publication level and also within the wider boundaries of the specific discipline, so as to evidence the works as embedding a coherent programme of research, achieving a depth of scholarship and originality comparable to that required for the award of PhD by thesis.
9. In the case of joint publications included in a candidate's submission, the candidate must indicate clearly in the list of published works submitted the percentage share of the work attributable to the candidate. The candidate will be required to obtain, before submission of each form, signatures from each co-author and collaborator certifying the candidate's share of the work concerned.
10. When sufficient publications have been amassed, the candidate should apply for their programme of study. Staff candidates should apply for funding in accordance with section 3. Upon enrolment the candidate will be provided with an academic supervisor and given a maximum of twelve months registration from being notified that there is a *prima facie* case to submit three hardbound copies of their submission as per section 8 above. Candidates shall be expected to provide a draft of their commentary to their academic supervisor by the half way point of registration. Extensions and interruptions of studies will only be considered in exceptional circumstances. Withdrawal from the programme after registration may result in sponsored candidates being liable for any tuition fees paid on their behalf.

### **Examination for the Degree of Doctor of Philosophy on the Basis of Published Work**

11. The candidate's submission shall be examined by two External Examiners and one Internal Examiner. The Examiners shall be nominated in accordance with section 11 of the Research Degrees Regulations. An Independent Chair shall be appointed in accordance with section 10.3 of the Research Degrees Regulations.
12. The examination will take place in accordance with section 12 of the Research Degrees Regulations. In addition, the External Examiners should take into consideration the extent, merit and quality of the work submitted. With regard to the extent of the work, the Examiners should satisfy themselves that the candidate's work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting original investigations and in testing ideas, whether the candidate's own or others'.

## **Fee**

13. On registration a non-staff candidate will pay the requisite fee. Staff candidates not supported through the central funding process described under section 3 will also be required to pay the requisite fee.

## **Public Presentation**

14. In association with the examining process, a candidate may be encouraged to give a presentation of the work embodied in the submission in the form of a public lecture or seminar. Such a presentation shall not, however, form part of the formal examination and shall not contribute to the Examiners' decision on the candidate's performance.

## **Role of Internal Staff during the Examination**

15. The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. In all cases the academic supervisor should be available to be consulted by the Examiners on the occasion of the oral examination. The academic supervisor shall have the right to confer with the examiners following the examination, and to be given an oral report on its outcome.
16. There should normally be no contact between the candidate and the Examiners before the oral examination to avoid any perception of bias or collusion.

## **Recommendations Open to the Examiners**

17. Following the first submission and examination of a candidate, the Examiners may make recommendations in line with section 12.4 of the Research Degree Regulations.

## **Guidelines concerning the Submission of Published Work for the Degree of Doctor of Philosophy**

18. Arts, Humanities and Social Sciences
  - a) Publications selected for submission by a candidate should demonstrate progressive development or coherence in research activity.
  - b) The amount of research activity should be equivalent to that expected from a three year full-time PhD.
  - c) Candidates would normally be expected to submit at least five articles in refereed journals or the equivalent in books, monographs, works of art, performances and chapters in books or any combination of these types of publication. Papers must have been published in established, refereed journals, in chapters in edited books or, when appropriate, may be in a professional journal held in high standing by academics and senior practitioners working in the field. The significance of artworks and performances must be demonstrated by the standing of the exhibition venue, the nature of the commissioning process or the level of critical appraisal of the work.
  - d) Each paper should demonstrate incremental steps in research and the development of the research ideas.
  - e) All items must have been published within a minimum of three years.

- f) Where the publications submitted have been jointly authored with external parties, a form will be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.
- g) The commentary should set out the proposed basis for the award of the degree, placing the work in its wider context, particularly drawing out linkages between the different pieces of work. It should demonstrate the required development or coherence in the work across the period covered by the publications and should incorporate a critical appraisal and discussion of the corpus.

19. Science and Engineering

- a) The submission should normally comprise at least five original articles in peer reviewed journals and should represent a significant contribution to knowledge in the candidate's field.
- b) Where the publications submitted have been jointly authored with external parties, additional information must be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.
- c) The accompanying commentary should summarise the relevant literature, set the work carried out in its wider context, include a critical appraisal of what has been achieved and provide ideas for future work.



## **Annex C**

### **Professional Doctorate Regulations**

The regulations governing the progression and award of the Doctor of Philosophy (Professional) at the University of Lincoln.

#### **1. Definition of a Professional Doctorate**

- 1.1 The Professional Doctorate is a doctoral research programme of equivalent standing to the Doctor of Philosophy with a focus on research and professional practice which aims to aid the dissemination, development and management of a range of professional practice and policy development. It shall require the completion of 540 academic credits, including a taught element which shall not exceed 180 academic credits.
- 1.2 In accordance with these Regulations the Professional Doctorate may be awarded to a candidate who has successfully completed and passed both the taught and research components of the programme and demonstrably made an independent and original research contribution to a specific professional area.
- 1.3 The degree of Doctor of Philosophy (Professional) may include a range of disciplines or professional practice areas but its title shall remain the same. The award-holder shall be entitled to utilise the pre-nominal title of 'Doctor' or 'Dr'.

#### **2. Programme Structure**

- 2.1 The degree of Doctor of Philosophy (Professional) shall comprise a total of 540 credit points.
- 2.2 The taught component of Professional Doctorate programmes shall include modules at Level 7 FHEQ up to one third of the overall programme, i.e. 180 credits may be set at Level 7. The remainder of the programmes shall be made up of Level 8 study.
- 2.3 The taught component of the Professional Doctorate awards shall normally consist of a structured programme of taught modules.
- 2.4 A Doctor of Philosophy (Professional) may be awarded to a student who has satisfied the academic credit requirements for the award for which they are registered and has:
  - (i) successfully completed the taught component of the award; and
  - (ii) presented and defended at oral examination a research thesis, portfolio, artefact or other form of assessable output to the satisfaction of the examiners.
- 2.5 Through successful completion of both the taught and research components, a student should also have demonstrated:
  - (i) the creation and interpretation of new knowledge through original research or other advanced scholarship, of a quality to satisfy peer review, extend the boundaries of the discipline, and merit publication;
  - (ii) the systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;

- (iii) the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the boundaries of the discipline, and to adjust the project design in the light of unforeseen problems; and
- (iv) a detailed understanding of applicable techniques for research and advanced academic enquiry.

2.6 Successful candidates should also be able to:

- (i) make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
- (ii) continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches; and will have:
- (iii) the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

### **3. Admission**

- 3.1 Admission is the decision by which the University agrees to allow an individual to enrol as a student of the University to follow a programme of studies at the University.
- 3.2 An individual seeking admission to a programme of studies provided at the University shall act in good faith and disclose any fact that is material to the University's decision to admit the individual as a student. An applicant shall not mislead the University nor allow it to be misled in respect of any part of their application for admission.
- 3.3 The University shall only admit those candidates who can demonstrate that they are sufficiently qualified and capable of achieving successful completion of the Professional Doctorate within the maximum period of registration. The scope of the thesis, portfolio, artefact or other form of assessable output shall be such that it is achievable within this timeframe.
- 3.4 The University follows the national Credit Accumulation and Transfer Scheme (CATS) whereby it can formally evaluate applicants' prior experience and qualifications and offset them against standard entry requirements. An individual may be admitted with advanced standing to a programme of studies.
- 3.5 Accreditation of Prior Certified Learning (APCL) may be granted for formal learning from other institutions and credit can be awarded for experiential learning (APEL).
- 3.6 Full credit of 180 points may be given for the taught component on an advanced standing basis with a prior qualification (APCL) or experience (APEL), provided applicants can be shown to satisfy the programme's learning outcomes at the required level and can demonstrate the criteria referred to in 4.3.
- 3.7 Credit towards, or exemption from, the research component shall not be permitted.

## 4. Enrolment

4.1 Enrolment establishes an individual's status as a student of the University.

## 5. Registration

5.1 Registration is the recording of an individual's candidacy for an award of the University. See section 4 (excluding section 4.6) of the Research Degrees Regulations for further information.

### Periods of Registration

Level	Minimum	Maximum
Postgraduate Certificate	4 months	12 months
Postgraduate Diploma	8 months	32 months
Masters	12 months	48 months
Professional Doctorate	27 months	72 months

## 6. Attendance

6.1 In the case of a student following a Professional Doctorate by distance learning, attendance means demonstrable activity on the programme of studies. Information about the University's Tier 4 compliance obligations can be located in Part N of the University General Regulations. Information about the appeals process for students whose programme has been terminated on the grounds of attendance can be found in Part O of the University General Regulations.

## 7. Interruption of Studies

7.1 Any period of interruption, whether during the taught or research component of the Professional Doctorate programme, shall not exceed more than two years in total across the duration of the award. Where approved, the period(s) of interruption shall be added to the student's original term of registration on the programme. In the case of an unforeseeable event such as a military posting overseas, a student may be required to interrupt their studies for a period greater than the normal maximum. Cases such as this will be considered on an individual basis with students submitting extenuating circumstances to the programme leadership who will decide whether an additional period of interruption above and beyond the two year normal maximum is deemed appropriate.

### Interruption During the Taught Component

7.2 A student may apply to the University to interrupt their studies for a specific period of time. Students who wish to interrupt during the taught component may contact the Student Support Centre for advice and guidance.

7.3 Students remain liable for the fees for the academic year in which they have interrupted their studies. If the fees have been paid in full the student shall not be liable for any further fees for the year in which they resume their studies and complete the year of study, provided that the student resumes studies at the same point as initial interruption.

- 7.4 A student interrupting during the taught component shall normally be expected to return to their programme of studies in the following academic year at the point in the teaching or assessment calendar equivalent to when study was previously interrupted. Where students interrupt at the semester break this may be relatively straightforward but where an interruption has been at another point this will require careful monitoring by the Programme Team. Academic judgement may be used when deciding upon the relevant point of return to study.
- 7.5 A student returning after an interruption of studies shall enrol only upon those modules not previously assessed, or where reassessment has been agreed by the Board of Examiners. Any assessments already completed will be carried forward.
- 7.6 The University cannot guarantee that changes to a programme of studies will not be made during a student's period of interruption. Where changes have occurred the Board of Examiners, in consultation with Registry, will make appropriate arrangements to enable the student to complete the programme of studies.
- 7.7 During a period of interruption of studies the student and the University remain bound by these Regulations.

### **Interruption During the Research Component**

- 7.8 During the research component, a student may request the College Research Degrees Board to approve a period(s) of interruption to their studies

## **8. Termination of Enrolment and Registration**

- 8.1 A student's enrolment and registration will terminate when have they completed a programme of studies and either has an award conferred by the Board of Examiners or the Board of Examiners decides that the student is ineligible for an award. Students who have exceeded their period of registration shall also be deemed to have had their enrolment and registration terminated.
- 8.2 A student whose enrolment and registration had been terminated by the University shall not be eligible to return to study on the same programme of studies.
- 8.3 Further information about termination by a student and termination on academic and attendance grounds (and the appeal process) can be found in Part O of the University General Regulations.

## **9. Extenuating Circumstances**

- 9.1 See Part P of the Research Degrees Regulations.

## **10. Progression at the Taught Component Stage**

- 10.1 A student may progress through all stages of taught component of the Professional Doctorate on condition that they have satisfactorily maintained their student status and shall only be finally assessed on the taught component on the basis of their performance at the Board of Examiners held on completion of all stages of the taught component. The assessment regulations relating to the taught component are located with the Taught Postgraduate Regulations.

- 10.2 Outcomes in relation to the taught components shall be communicated to the College Research Degrees Board. The College Research Degrees Board shall approve the submission by the candidate of an appropriate proposal of a doctoral research project.
- 10.3 The College Research Degrees Board may decide to withdraw a student from the Professional Doctorate programme if their doctoral research project proposal is inadequate and unlikely to lead to the outcomes specified under section 2.4. In such a case, the College Research Degrees Board shall determine whether the student is eligible for the conferment of an exit award.
- 10.4 Students shall be subject to the University's requirements in relation to satisfactory and timely progress in relation to both the taught and research component, and the programme as a whole.
- 10.5 The College Research Degrees Board shall be responsible for the progress monitoring of Professional Doctorate students and for the oversight of the procedures for managing unsatisfactory performance, in which it shall take into account information derived from the assessment of both that taught and research components as applicable.

## **11. Reassessment Opportunities for the Taught Component**

- 11.1 Award Regulations provide the rights to retrieve failure in assessment for the taught component of the Professional Doctorate and the conditions under which such a failure may be retrieved. The reassessment regulations relating to the taught component are located within the Taught Postgraduate Regulations.
- 11.2 The final Board of Examiners shall convene following completion of the reassessments. If the student has met the general pass standard for further progression this shall be reported to the College Research Degrees Board which shall confirm that student's entitlement to proceed to the research stage of the Professional Doctorate.
- 11.3 Where a student has exhausted all reassessment opportunities and has not met the general pass standard for further progression, they will be deemed to have failed and their enrolment on the programme terminated. The Board of Examiners may recommend that an alternative exit award be conferred where the requirements for such have been met.

### **Alternative Exit Awards**

- 11.4 In the circumstances defined below, a student may obtain an exit award. A Board of Examiners may make such an award only at a point when a student's tenure on a programme of study has ceased. A student may receive only one award in respect of any programme of study.
- 11.5 A candidate who accepts a lower award rather than taking the opportunity to be reassessed may not normally elect to subsequently be reassessed.
- 11.6 Postgraduate Certificate: This may be awarded to a student who has successfully completed 60 credits of study on a postgraduate programme but has failed to complete, or elected not to take, an opportunity for reassessment.

Postgraduate Diploma: This may be awarded to a student who has successfully completed 120 credits of study on a postgraduate programme but has failed to complete, or elected not to take, an opportunity for reassessment.

Masters Degree: To be awarded a Masters degree, a student shall pass all the assessed elements constituting 180 credit points or where the student has achieved the pass standard in 150 credit points providing the mark of at least 40% is obtained in the remaining 30 credit points. Boards of Examiners shall convene to determine a student's entitlement to condonement. Condonement shall not be available to students who enter with advanced standing.

## **12. Assessment of the Research Component**

- 12.1 Approval of the doctoral research project proposal is the responsibility of the College Research Degrees Board. Project proposals shall satisfy the College Research Degrees Board's requirements with regard to the registration of Professional Doctorate programmes, including the relevant research and ethics policies.
- 12.2 The scrutiny and approval of the project proposal shall normally take place prior to commencement of the research component, recognising that the development of the project proposal may typically be undertaken by the candidate in the context of the taught component.
- 12.3 Project proposals shall be approved on the basis of Doctor of Philosophy (Professional).
- 12.4 Where the research project is to be predicated on practice-based research, the thesis shall be replaced with a commentary of no more than 40,000 words which shall accompany the practice-based output.
- 12.5 Any student who is enrolled for the degree of PhD (Professional) and who is unable to complete the approved programme of research may, at any time prior to the submission of the thesis for examination, apply to the College Research Degrees Board to be enrolled as a candidate for an MPhil (Professional).
- 12.6 In the case of such transfer of enrolment, the latest date for completion shall be determined as follows:
  - (a) If the student is within eighteen months of the original latest completion date, that date shall stand, or
  - (b) If the student is more than eighteen months prior to the latest completion date that would have been applied had they been enrolled on the new programme of research from the outset, then that latest completion date shall be applied.

If neither a) nor b) applies, a new latest completion date eighteen months from the date of the College Research Degrees Board that approves the transfer shall apply.

## **13. The Thesis**

- 13.1 The text of the thesis shall not exceed the following limits on length (excluding ancillary data):
  - (g) 60,000 words for a PhD (Professional)

(h) 40,000 words for an MPhil (Professional)

**14. Supervision**

14.1 See section 8 of the Research Degrees Regulations.

**15. Examination of the Research Thesis**

See sections 10 to 13 of the Research Degrees Regulations.

**16. Aegrotat and Posthumous Awards**

See section 15 of the Research Degrees Regulations.

**18. Appeal against the Examination Decisions of the College Board of Examiners**

17.1 See Part B of the University General Regulations.

**18. Submission of the Thesis**

See section 14 of the Research Degrees Regulations.

## Annex D

### Doctor of Education

#### 1. The Framework for Higher Education Qualifications

1.1 The Doctor of Education programme shall be designed and its students assessed at appropriate levels that conform to the Framework for Higher Education Qualifications, promulgated by the Quality Assurance Agency for Higher Education (the QAA). Conformity with the framework by individual programmes will be verified at initial validation, and confirmed at any subsequent re-validation. Boards of Examiners are responsible for verifying that students' performance in formal assessment is at the appropriate level within the framework. Conformity with the framework and appropriate levels of students' performance will be confirmed at periodic subject review.

1.2 The intended learning outcomes of the Doctor of Education and its modules shall include or reflect the requirements of the framework, namely that, successful students, on completion of their programme of study, will be able to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
- continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas, or approaches;
- demonstrate the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

(Re-)validation panels are responsible for verifying these.

1.3 Boards of Examiners are responsible for verifying that students have demonstrated through their formal assessments that they have satisfied the programme and modules' intended learning outcomes and have demonstrated on completion of their doctoral programme of study:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- the ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;
- a detailed understanding of applicable techniques for research and advanced academic enquiry.

Periodic subject review panels are responsible for confirming that programmes' and modules' intended learning outcomes and students' assessments conform to the above.



## 2. Structure of the Doctor of Education Programme

### Standard size of module

- 2.1 The standard module building blocks in the Doctor of Education programme are 15 credit points, as appropriate to the level of study, with 1 credit point equating to 10 notional learning hours. The modules will be at Masters (M) or Doctoral (D) level according to 2.2 below.

### Structure of awards

- 2.2 The Doctor of Education is structured according to the following principles:
- (a) The programme of study shall comprise between 120 and 270 credit points of taught provision. Where the programme of study comprises more than 180 credit points of taught provision any taught provision in excess of 180 credit points must be at doctoral level. No element of the taught provision may be at a level below Masters level.
  - (b) Additionally, the programme of study will require the submission of a written thesis which shall not exceed 60,000 words. At validation the validation panel shall confirm the length of the written thesis in light of the credit size of the taught element of the programme and the requirement that candidates must attain a doctoral level in their thesis, judged by the length and standard of the thesis.
- 2.3 At the point where the College Research Degrees Board approves the written thesis it shall consider an application from a candidate who proposes to submit other original work in part fulfilment of the requirement to submit a written thesis. Such other work may be in any field, including mathematics, engineering, computing, architecture, creative writing, music, fine art, design, film or time based electronic media, performance and dance.

### Credit structure

- 2.4 The credit structure for the Doctor of Education is summarised as follows:

Award	Tariff (level)	Maximum Credit Points Available under AP(E)L	Notional Learning Hours
Postgraduate Certificate	60 (M)	30	600
Postgraduate Diploma	120 (M)	60	1200
Masters	180 (M)	120	1800
Professional Doctorate	540 (M/D)*	100**	5400

\* A Professional Doctorate is equivalent to 540 credits points, including between 120 and 270 credit points of taught provision. No element of the taught provision may be below Masters level and any taught provision in excess of 180 credits must be at doctoral level.

\*\* This credit is not to include any research methods module(s)

## **Periods of Registration**

2.5 The following minimum periods of registration shall normally apply:

Award	Minimum Duration (Months)	
	Full-Time	Part-Time
Postgraduate Certificate	4	8
Postgraduate Diploma	8	16
Masters	12	24
Professional Doctorate	36	48

The maximum period of registration will be the minimum period plus two calendar years.

## **Research Methods Requirements**

2.6 All students undertaking a postgraduate dissertation/project/portfolio must have passed a relevant research methods module(s) as stipulated at validation and set out in the programme specification.

## **3. Assessment**

### **Boards of Examiners**

3.1 The Board of Examiners shall have responsibility for assessment and progression in respect of the taught element of the programme. The taught modules at Masters level will be examined according to procedures set out in the University Taught Postgraduate Regulations.

The College Research Degrees Board shall have responsibility for the thesis. The thesis shall be examined according to procedures set out in the University's Research Degrees Regulations.

## **4. Thesis**

### **Progression**

4.1 In order to progress to the final, thesis stage of the Doctor of Education, students shall have passed (or been formally credited with) all the required taught element credit points from the programme as specified at validation. Once a student has progressed to the thesis stage of a programme the College Research Degrees Board shall consider and approve, or otherwise, the student's research project leading to a thesis or approved alternative.

### **Supervision**

4.2 The College Research Degrees Board shall approve the supervisory arrangements for the thesis or approved alternative according to section 8 of the University's Research Degrees Regulations.

## **Examination**

- 4.3 The University's Research Degrees Regulations relating to examiners, first examination and re-examination shall apply to the examination of the approved thesis.