University of Central Lancashire

ACADEMIC REGULATIONS FOR POSTGRADUATE RESEARCH DEGREES

Effective from September 2019 to present

STUDENT REGULATIONS AND POLICIES

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UNIVERSITY OF CENTRAL LANCASHIRE

ACADEMIC REGULATIONS FOR POSTGRADUATE RESEARCH DEGREES

PREFACE

The application of the Academic Regulations for Postgraduate Research Degrees is underpinned by University policies and procedures, to which reference is made at appropriate points within the Regulations.

Cross reference should also be made to Section A and Section B of the Academic Regulations for Taught Programmes for matters pertaining to:

- Powers of the University to Grant Awards
- Approval of Courses and Awards by the Academic Board of the University
- Approval of new Awards

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A Research Degree Regulations

A1 List of Awards

A1.1 Awards by Supervised Research

The University offers the following awards: A1.1.1

The MA\MSc\LLM (by Research) Award

The MA\MSc\LLM (by Research) is awarded to a student who has demonstrated an understanding of research methods appropriate to the chosen field by completing an approved programme of supervised research, and has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

A1.1.2 *The MD (Research) Award*

The MD (Res) is awarded to a student who, having critically investigated and evaluated an approved topic resulting in a significant contribution to medical knowledge and/or professional practice and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

A1.1.3 The MD (by Published Work) Award

The MD (by Published Work) is awarded to a student, who having critically investigated and evaluated diagnosis or management in a clinical environment resulting in a significant contribution to medical knowledge and/or professional practice, has presented a synoptic commentary and defended the Published Work, by oral examination, to the satisfaction of the examiners.

A1.1.4 *The MCh (Research) Award*

The MCh (Res) is awarded to a student who, having critically investigated and evaluated an approved topic resulting in a significant contribution to a particular subject of Surgery and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

A1.1.5 *The MPhil Award*

The MPhil is awarded to a student who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

A1.1.6 *The PhD Award*

The PhD is awarded to a student who, having critically investigated and evaluated an approved topic resulting in an independent, significant and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

For most students the award of a PhD is achieved via an MPhil route i.e. initial registration on an MPhil with transfer to a PhD in accordance with the provisions set out at A6.1 below.

A1.1.7 *The PhD (by Published Work) Award*

The PhD (by Published Work) is awarded to a student who, having critically investigated and evaluated an approved topic resulting in an independent, significant and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field, has presented a synoptic commentary and defended the Published Work, by oral examination, to the satisfaction of the examiners.

A2 Regulations Governing Admission

A2.1 Principal Conditions

A2.1.1 In considering applications for admission, the sponsoring School shall satisfy itself that there are no conflicts of interest arising either during the admission process or with the proposed arrangements for supervision and that all necessary requirements, relating inter alia to qualifications, supervision, the research environment and governance arrangements, are fulfilled.

A2.1.2 Students are only permitted to be registered for another course of study concurrently with the research degree registration where both courses are part-time study and where in the opinion of the School the dual registration will not detract from the research programme. A course of study is not considered completed until the assessment process has been concluded.

A2.1.3 Students whose work forms part of a larger group may submit a programme of research for approval for a research degree. In such cases each individually approved project must in itself be distinguishable for the purpose of assessment and be appropriate for the award being sought. The application must indicate clearly each individual contribution and its relationship to the group project.

A2.2 Entry requirements for research degrees

FHEQ level	Title of Award	General minimum entry requirements
7	MA/MSc/LLM (by Research)	Bachelor degree with Honours in a relevant subject at lower second class or above, or equivalent
7	Master of Philosophy (MPhil)	Bachelor Degree with Honours in a relevant subject at lower second class or above, or equivalent
7	Master of Surgery (MCh [Res])	Bachelor of Medicine or Bachelor of or equivalent , and (i) have for at least three years prior to the entry for the degree, held a research or teaching appointment; or (ii) have been engaged in the practice of medicine or surgery; and (iii) have been registered with the General Medical Council of the United Kingdom or equivalent.
8	Doctor of Medicine (MD [Res])	Bachelor of Medicine or Bachelor of Surgery, or equivalent, and (i) have for at least three years prior to the entry for the degree, held a research or teaching appointment; or (ii) have been engaged in the practice of medicine or surgery; and (iii) have been registered with the General Medical Council of the United Kingdom.
8	Doctor of Medicine (MD [by Published Work])	Bachelor of Medicine or Bachelor of Surgery, or equivalent, awarded by a UK medical school or equivalent and (i) have for at least 5 years prior to the entry for the degree, held a research or teaching appointment; or (ii) have been engaged in the practice of medicine or surgery; and (iii) have been registered with the General Medical Council of the United Kingdom.
8	Doctor of Philosophy (PhD) via an MPhil route.	Bachelor degree with Honours in a relevant subject at lower second class or above, or equivalent
8	Doctor of Philosophy (PhD) Direct route	Master's (by Research) degree in a relevant subject, or equivalent

8	PhD (by Published Work)	Bachelor degree with Honours, or equivalent; and (i) be a current member of the staff of the University or one of the partner institutions of the University; or (ii) be an honorary academic of the University; or (iii) be a graduate of the University; or (iv) an external applicant who can demonstrate a record of publications of an appropriate quantity and quality to benefit from this form of doctoral study.

A2.2.1 Non-standard entrance qualifications

Applications from students holding qualifications other than those in A2.2 above will be considered on the following basis:

(i) evidence in the form of a portfolio of work, prior professional practice or learning equivalent to the University's entry criteria; or

(ii) the student has successfully completed an approved pre-entry course.

A2.2.2 English Language Proficiency

All teaching, supervision and examination of research degrees will be in the English language. Students applying for postgraduate research programmes must have a minimum level of proficiency equal to IELTS 6.5 or equivalent. A Head of School may prescribe a higher IELTS score where required by the discipline or professional body.

A2.2.3 Entry onto an MD (by Published Work) programme will include the following with the application form:

- a list of the publications and copies of the published works;
- details about their contribution to each publication where there is joint authorship;
- a covering statement from the candidate clarifying the topic and how they feel they meet doctoral standard together with signed written statements from all collaborating parties indicating the extent of the candidate's contribution to the work;
- a CV;

The application for admission will be reviewed by the School and submitted to the Research Degrees Board for consideration and approval.

A2.2.4 Entry onto a PhD (by Published Work) programme will include the following with the application form:

- a list of the publications and copies of the published works;
- details about their contribution to each publication where there is joint authorship;
- a covering statement from the candidate clarifying the topic and how they feel they meet doctoral standard together with signed written statements from all collaborating parties indicating the extent of the candidate's contribution to the work;
- a CV;
- the proposed topic title to be embodied in the synoptic commentary.

The application for admission will be reviewed by the School and submitted to the Research Degrees Board for consideration and approval.

A3 Applications for Research Programme Approval

A3.1 All students are required to apply for Research Programme Approval by the appropriate Research Degree Tutor within the time periods set out at A4 below.

A3.2 In considering applications for Research Programme Approval, the Research Degree Tutor shall be satisfied that the sponsoring School has a suitable programme of research for the target award, that appropriate supervision arrangements and a suitable programme of training is in place. Where the programme of work includes a practice-based element, the proposed constitution of the final thesis must also be approved.

A3.2 A change of programme of an approved research degree programme must be approved by the Research Degree Tutor.

A3.4 Research Programme Approval will include consideration of the student's training programme to ensure that they have the requisite research and other skills to successfully complete their research degree programme. Students must complete a mandatory training programme within the published timescale for that programme or the deadline set by the School.

A4 Duration of Study/Expected Submission Periods

A4.1.1 Students for all awards except MD (by Published Work) and PhD (by Published Work) are expected to apply for Research Programme Approval and to submit their research degree within the timescales below.

A4.1.2 The period of study for research degrees ends when either the research degree is awarded or when the maximum period of registration has been reached. Continuation beyond this time is subject to approval by the Research Degree Board and will be subject to a maximum additional period of registration of one year.

A4.1.3 Students who fails to submit within the maximum period of registration shall be withdrawn from the course.

Full time

Award	**Period from start date allowed for Research Programme Approval**	**Expected submission point**	**Maximum period of Registration**
MA/MSc/LLM (by Research)	3 months	12 months	24 months
MPhil	3 months	24 months	36 months
PhD (via transfer from MPhil registration)	3 months	36 months	48 months
PhD Direct	3 months	24 months	36 months

Part-time

Award	**Period from start date allowed for Research Programme Approval**	**Expected submission point**	**Maximum period of Registration**
MA/MSc/LLM (by Research)	6 months	24 months	36 months
MPhil	6 months	48 months	60 months
PhD (via transfer from MPhil registration)	6 months	72 months	84 months
PhD Direct	6 months	48 months	60 months
MD (Res) and MCh (Res)	6 months	36 months	48 months

A4.2 MD (by Published Work) and PhD (by Published Work)

Students will be expected to submit within 12 months from approval of the candidature for the award from Research Degree Board. Continuation beyond 12 months is subject to approval by the Research Degrees Board and will be subject to a maximum additional period of 12 months registration.

A4.3 Changes to the Approved Programme of Research

A4.3.1 A student who is registered for the degree of PhD and who is unable to complete the approved programme of work may at any time prior to the submission of the thesis for examination apply to the Research Degree Tutor for the registration to be changed to that for the degree of MPhil.

A4.3.2 Where there is evidence that the research is proceeding exceptionally well, the School may apply for permission for the student to submit prior to the expected submission point. The application should be submitted to the Research Degrees Board with the application for approval of examination arrangements.

A4.3.3 Where a student wishes to change from full-time to part-time study or vice versa, and is eligible to do so according to their funding and immigration circumstances, an application must be submitted for approval by the relevant Head of School. Following approval, the maximum period of study will be calculated on a pro rata basis.

A4.3.4 Where a student is prevented, by exceptional or unforeseen cause, from making progress with the research, they may seek authorisation for an interruption to the programme of study from their Faculty Director of Research and Innovation in accordance with the procedure set out in the Research Student Assessment Policies and Procedures Handbook. Requests for interruptions to study must be submitted and approved prior to the commencement of the period of interruption. Retrospective interruptions to study are not permitted.

A4.3.5 The maximum period of authorised interruption to study which can be applied for in a single application is 12 months. A period of authorised interruption to study shall normally be no less than one month. Periods up to one month would normally be considered authorised absence.

A4.3.6 Where a student is permitted, and eligible according to their funding and immigration circumstances to interrupt their study to undertake a research internship or related professional development programme a period of interruption to study of up to 6 months may be approved by the School. Requests for a period of between 6 and 12 months maximum would require approval by the Research Degrees Board.

A4.3.7 For students who have not had their programme of research approved, the maximum permitted period for an interruption to study will be three months.

A4.3.8 Where a student needs to apply for a single or cumulative period of interruption to study for more than 12 months, the Faculty Director of Research and Innovation must seek approval from the Research Degrees Board. Cumulative periods of interruption to study exceeding 24 months are not permitted. Students who wish to interrupt their studies for longer than the permissible periods, must withdraw from the programme and seek re-admission if they subsequently wish to resume their studies.

A4.3.9 Students are not permitted to study, access supervision or submit their final thesis during an authorised interruption of study.

A4.3.10 An authorised interruption to study would require an adjustment to the end date of the programme by the equivalent period of time.

A4.3.11 Exceptionally, where the progress of research is impeded through causes not associated with the student's ability to study, a request to extend the period of registration at the end of the programme may be made to the Research Degrees Board who will determine the length of extension.

A5 Supervision

A5.1 All research degree students shall be supervised by a supervisory team of normally 2, and no more than 3, which includes a Director of Studies, supervisor (s) and, where appropriate, specialist advisor (s). All supervisors will be demonstrably active researchers with relevant knowledge and skills. The School will ensure that there are no conflicts of interest arising in those arrangements

and that appropriate supervisory arrangements are maintained throughout the student's programme.

A5.2 The Director of Studies shall be a member of the University's staff with a contract which covers the period of study. The other supervisor(s) may be a member of the University's staff, an Emeritus Professor or a member of staff at another higher education institution including a partner or collaborating institution of the University. An advisor or advisors may be proposed to contribute some specialist knowledge or a link with an external organization.

A5.3 At least one of the supervisory team shall have experience of supervising at least one student to the successful completion of a research degree at or above the level of the target award. Supervisors who have completed an approved supervisor training programme may count this as one successful supervision, but a team will not be deemed qualified where the only successful completion within the team has been obtained through an approved supervisor training programme.

A5.4 Proposals for a change in the approved supervision arrangements must be agreed by the appropriate Research Degree Tutor.

A6 Progression, Formative Assessment and Monitoring

A6.1 Transfer of Registration from MPhil to PhD

A6.1.1 Students registered on a PhD via an MPhil route are required to apply for a transfer within the permitted transfer period of 12-18 months from the start date for full-time students or 24-36 months from the start date for part-time students.

A6.1.2 The student must produce a Transfer Report which should contain:

(i) an abstract;
(ii) a brief review and discussion of the work already completed which should not exceed 6,000 words in length, and include a portfolio of research work accomplished and/or published;
(iii) a detailed plan of the intended further work, including details of the original, significant and independent contribution to knowledge that is likely to emerge;
(iv) an up-to-date list of references and/or bibliography.

A6.1.3 The student will be assessed on the basis of the Transfer Report and an oral examination by a panel which will include at least one independent referee nominated by the School. Where appropriate, the report should allow the panel to evaluate any practice-based components of the research.

A6.1.4 The panel will make one of the following recommendations to the Research Degrees Board:

i) Progress to PhD;
ii) Continue to MPhil only;
iii) Referred, indicating what remedial action must be undertaken;
iv) Deferred (pending further information).

A6.1.5 Where a research student is enrolled for the degree of MPhil only and is permitted and eligible according to their funding and immigration status, they may apply to transfer the registration to PhD.

A6.2 Assessment of Progress and Formative Assessment

A6.2.1 The Research Degrees Board will make arrangements for the annual assessment of research degree students' progress on their programme of research (including any training programmes). Responsibility for ensuring that the students' progress is adequately monitored and assessed throughout the year lies with the Dean/Head of School.

A6.2.2 Students' progress will be formally assessed annually against the progression criteria specified at the commencement of the academic session by the Director of Studies.

A6.2.3 In the case of an unsatisfactory annual assessment of progress report from a research student enrolled for PhD (Direct), MD (Res), MCh (Res), MD (by Published Work) or PhD (by Published Work), the Research Degrees Board shall require an interim progress report of approximately 1,500 words detailing work completed and intended further work.

A6.2.4 Recommendations on progression to the next academic session will be made by Schools and confirmed by Research Degrees Board following a recommendation from the assessors.

A6.2.5 Research Degree Board will make one of the following recommendations:

(i) Progress to next academic session
(ii) Progress to next academic session on MPhil only
(iii) Referred, indicating what action must be taken within a two month remedial period
(iv) Deferred (students with an authorised interruption of study only)
(v) Fail

A6.3 Exclusion from a research degree programme during an academic session for academic reasons

Where it becomes clear that a student will not meet the academic or other specific progression requirements for a research degree programme, Schools and/or the Research Degrees Board may require a student to terminate their study during the academic session. This procedure is set out in the Guidance on Exclusion from a Research Degree during an Academic Session set out in the Research Student Assessment Policies and Procedures Handbook. In such cases the student will have the same rights as apply under the Appeals procedure.

A7 Examinations

A7.1 Principles

A7.1.1 Award of the degree

Decisions on the reports and recommendation of the examiners in respect of research degree students are taken by the Research Degree Board. The power to confer the degree is delegated to the Research Degrees Board by the Academic Board.

A7.1.2 The examination for the following awards has two parts:

(i) MA\MSc\LLM (by Research);
(ii) MD (Res);
(iii) MCh (Res);
(iv) MPhil;
(v) PhD;
(vi) the research component of Professional Doctorates;
(vii) PhD (by Published Work)
(viii) MD (by Published Work).

Part 1 is the submission and preliminary assessment of the thesis or thesis plus practice based materials. For an MD (by Published Work) or a PhD (by Published Work), Part 1 is the submission of the Published Work and the synoptic commentary and preliminary assessment of the Published Work.

Part 2 is its defence by oral examination.

A7.1.3 All students are examined orally on the thesis, the programme of work, and on the field of study in which the programme lies. Oral examinations are to be conducted in English (except where B1.6 Taught Regulations applies).

A7.1.4 The examination arrangements proposed by the School must be approved by the Research Degrees Board before examination can occur. These examination arrangements should be submitted to Research Student Registry four months before the student's intended submission date to allow sufficient time for approval and arrangements to be made. Exceptionally, where it has not been possible to confirm an examination team prior to the student's intended submission date,

then the student will be allowed to submit pending the examination arrangements being approved.

A7.1.5 Where for reasons of ill health, disability or comparable valid cause, the Research Degrees Board is satisfied that a student would be put at a serious disadvantage if required to undergo an oral examination, an alternative form of 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.

A7.1.6 Supervisors may, with the consent of the student, attend the oral examination but must not participate in discussion during the examination and must withdraw prior to the deliberations of the examiners on the outcome of the examination.

A7.1.7 All examiners must complete the preliminary reports before the oral examination takes place.

A7.1.8 The Research Degrees Board makes decisions on the reports and recommendation of the examiners for each student and must be satisfied that the thesis format is in accordance with the University's regulations.

A7.1.9 Where there is a failure to comply with the procedures of the examination process, Research Degree Board may declare the examination null and void and appoint new examiners.

A7.2 The Student's Responsibilities

A7.2.1 It is the responsibility of the student to ensure that the thesis is submitted for examination within the period of registration. The submission of a thesis for examination is at the discretion of the student.

A7.2.2. Students must take no part in the arrangement of their examination and have no contact with the examiner/s between the appointment of the examiners and the oral examination.

A7.2.3 A student shall not submit a thesis by which s/he has qualified for a degree in any university, nor one which is being concurrently submitted in candidature for any degree; but s/he may refer to work which s/he has already submitted for a degree in a thesis covering a wider field.

A7.2.4 Students must declare the use of any proofreading services.

A7.3 The Thesis

A7.3.1 The thesis shall be in the format prescribed in the Research Student Assessment Policies and Procedures Handbook.

A7.3.2 The thesis must be presented in English (except where B1.6 Taught Regulations applies).

A7.3.3 The copyright of the thesis as a literary work is invested in the student except in certain circumstances which are set out in the Intellectual Property Regulations.

A7.3.4 The final version of the thesis must be deposited in the Institutional Repository. An application for an embargo to the full publication of the thesis may be submitted to Research Degrees Board at the time of submission of the examination arrangements.

A7.4 Examiners for Students for all Research Degree Awards

A7.4.1 A research degree student is examined by a minimum of two examiners, at least one of whom must be external to the University.

A7.4.2 A second external examiner will be required for students who are either:

(i) a member of staff of the University, whether temporary or on an indefinite contract or;

(ii) (ii) a member of staff, whether temporary or on an indefinite contract, at a designated partner institution of the University; or

(iii) a member of staff, whether temporary or on an indefinite contract, at a collaborating institution of the University.

A7.5 Criteria for Appointment of Examiners

A7.5.1 General Principles

A7.5.1.1 Examiners must have expertise in the research area of the student's thesis and be demonstrably research active.

A7.5.1.2 For the awards of MCh (Res), MD (Res), MPhil and PhD (including practice-based awards), MD by Published Work and PhD by Published Work, the examining team must collectively have experience in the topic(s) to be examined and collectively have experience of a minimum of two or more previous examinations at the level of the award. The external examiner must have experience of at least one examination at or above the level of the award.

A7.5.1.3 For MA/MSc/LLM (by Research) students, one external examiner must have experience of at least one research degree examination at or above the level of the award.

A7.5.1.4 Examiners are required to maintain confidentiality within the examining process and in particular with respect to the thesis once it has been received, until publication.

A7.5.2 External examiners

A7.5.2.1 External examiners must be independent of the University and of any collaborating institution.

A7.5.2.2 An external examiner shall not be either a supervisor of another student or an external examiner on a taught course in the student's sponsoring academic School.

A7.5.2.4 The same external examiner must not be proposed so frequently that his/her familiarity with the sponsoring School might prejudice objective judgement.

A7.5.2.4 Former members of staff of the University may not be appointed as external examiners until three years after the termination of their employment with the University.

A7.5.3 Internal examiners

A7.5.3.1 The internal examiner should be a member of the University's staff with a contract which covers the period of examination or an Emeritus Professor. Unless A7.5.4 applies, the internal examiner will be responsible for chairing a student's oral examination.

A7.5.3.2 A student's supervisor, former supervisor or adviser may not be appointed as an internal examiner.

A7.5.4 Independent chairs of examination

A7.5.4.1 Independent chairs are required solely for oral examinations of PhD MD, PhD (by Published Work) where the internal examiner has had no previous doctoral level examining experience.

A7.5.4.2 The role of independent chair is procedural; there is no requirement to read the thesis.

A7.6 Outcomes of the First Examination

A7.6.1 Following the oral examination the examiners shall, where they are in agreement, present a joint report and recommendation relating to the award of the degree and certify whether the thesis submitted by the student substantially covers the area of research indicated by the approved title.

A7.6.2 The preliminary and joint reports of the examiners must provide sufficiently detailed comments on the scope and quality of the work to enable the University to satisfy itself that the recommendation following the examination is appropriate and the criteria for the award of the degree have been met.

A7.6.3 Definitions of the categories of corrections:

1 Minor amendments are matters which do not alter the results and / or conclusions of the thesis in any significant way. They may range from the correction of typographical, spelling and grammatical errors to revisions and / or additions to the thesis that address omissions and / or clarify arguments.

2 Major revisions are matters which are in excess of minor amendments, but not, in the opinion of the examiners, sufficient to require the student to revise and resubmit. Major revisions may involve limited additional work and rewriting of sections.

A7.6.4 Resubmission indicates that the student has not yet satisfied the examiners that the level of the award for which the thesis was submitted has been reached. Substantial rewriting is required to make the thesis meet the required standard. It may involve substantial rewriting of sections; the introduction of new material; further research; further analysis of the material or further development of the arguments.

A7.6.5 Awards of MA/MSc/LLM (by Research),

Following the completion of the examination the examiners may recommend to the Research Degrees Board:

(i) that the student be awarded the degree;

(ii) that the student be awarded the degree subject to minor amendments being made to the thesis subject to the satisfaction of the internal examiner within a maximum period of 3 months. The examiners must indicate to the student in writing, via the Research Student Registry, what amendments and corrections are required;

(iii) that the student be permitted to be re-examined for the degree, with or without a further oral examination within a maximum period of 6 months. The examiners must indicate to the student in writing, via the Research Student Registry, the deficiencies of the first examination;

(iv) that the student has failed and is not permitted to be re-examined.

A7.6.6 Awards of MPhil, MCh (Res), MD (Res), PhD, MD (by Published Work) and PhD (by Published Work).

Following the completion of the examination the examiners may recommend to the Research Degrees Board:

(i) that the student be awarded the degree;

(ii) that the student be awarded the degree subject to minor amendments being made to the thesis to the satisfaction of the internal examiner within a maximum period of 3 months. The examiners must indicate to the student in writing, via the Research Student Registry, what amendments and corrections are required;

(iii) that the student be awarded the degree subject to major revisions being made to the thesis to the satisfaction of the examiners within a maximum period of 6 months. The revised thesis must be submitted to the internal examiner and at least one external examiner for approval of the corrections before the degree can be awarded. The examiners must indicate to the student in writing, via the Research Student Registry, what amendments and corrections are required;

(iv) that the student be permitted to be re-examined for the degree, with or without a further oral examination, within a maximum period of 12 months. The examiners must indicate to the student in writing, via the Research Student Registry, the deficiencies of the first examination;

(v) in the case of a PhD, that the student be awarded the degree of MPhil with or without minor amendments to the thesis to the satisfaction of the examiners;

(vi) in the case of a PhD, that the student be permitted to be re- examined for the degree of MPhil with or without an oral examination subject to the presentation of the thesis amended to the satisfaction of the examiners within a maximum period of 12 months. In such circumstances, the examiners must indicate toe student in writing, via the Research Student Registry, what amendments and corrections are required;

(vii) that the student has failed and is not permitted to be re-examined.

A7.7 Requirements for re-examination for all awards

A7.7.1 One re-examination may be permitted. A7.7.2 There are three forms of re-examination:

(i) the thesis (or thesis with practice based materials) only;
(ii) the oral examination only;
(iii) the thesis (or thesis with practice based materials) and the oral examination.

An oral examination must be held at re-examination if the thesis was referred for re- examination without an oral at first examination.

A7.7.3 The Research Degrees Board may, where there are extenuating circumstances, approve an interruption to studies during the period allowed for revising of the thesis. (See the Research Student Assessment Policies and Procedures Handbook).

A7.7.4 The Research Degrees Board may require that an additional external examiner be appointed for the re-examination, in which case his/her appointment must be submitted to the Research Degrees Board for approval in the normal way.

A7.7.5 Outcomes for re-examination for students for MA/MSc/LLM (by Research), MPhil, MCh (Res), MD (Res), PhD, MD (by Published Work) or PhD (by Published Work)

Following the completion of the re-examination, the examiners may recommend to the Research Degrees Board:

(i) that the student be awarded the degree;

(ii) that the student be awarded the degree subject to minor amendments to the thesis to the satisfaction of the internal examiner;

(iii) in the case of doctoral level awards, that the student be awarded the degree of MPhil with or without minor amendments to the thesis made to the satisfaction of the internal examiner *;*

(iv) that the student fail the degree.

A7.8 Where the examiners are not in agreement following an examination or re-examination

A7.8.1 Where the examiners are not in agreement, separate reports and recommendations shall be submitted to the Research Degrees Board.

A7.8.2 Research Degrees Board may:

(i) accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);

(ii) accept the recommendation of the external examiner;

(iii) require the appointment of an additional external examiner(s)

A7.8.2 Where an additional external examiner is appointed he/she shall prepare an independent preliminary report on the thesis and, if he/she considers necessary, conduct a further oral

examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Degree Board will consider the report and agree the outcome of the examination.

A7.9 Posthumous Award

The University may confer any of its awards posthumously provided there is evidence of work successfully completed at the appropriate level. The award can be accepted on the student's behalf by a parent, spouse or other appropriate individual.

A8 Unfair Means To Enhance Performance

A8.1 The University regards any use of unfair means in an attempt to enhance performance or to influence the standard of any award obtained as a serious offence.

A8.2 Unfair means includes all forms of cheating, plagiarism, collusion and re-presentation of work as defined in the Research Student Assessment Policies and Procedures Handbook (the Handbook).
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A8.3 Details of the Unfair Means Procedure and how it applies to the postgraduate research student experience are set out in the Handbook .

A8.4 All instances or allegations of the use of unfair means at any assessment point in the postgraduate research student journey: Research Programme Approval, transfer, Annual Assessment of Progress and examination, will be investigated in line with the procedure set out in the Handbook. Assessment proceedings will be suspended pending the outcome of the investigation.

A8.5 If an allegation of unfair means is found to be proven at any point in the postgraduate research student journey, the following penalties may apply.

In the event of a single offence, the penalties available are:

a. Referral for a second opportunity to complete the assessment satisfactorily, with or without a further oral examination;
b. In the case of a student registered on the award of PhD, a maximum award of MPhil; subject to meeting the criteria for that award
c. Failure of the award.

A8.6 Where unfair means is detected for the first time on a reassessment, no further reassessment will be permitted.

A8.7 In the event of a repeat offence of unfair means, (irrespective of whether the repeat offence involves the same form of unfair means) on the same research degree, the appropriate penalty should be failure of the degree.

A8.8 Where evidence of use of unfair means becomes apparent subsequent to the recommendation of the assessors or examiners, the matter will be re-opened and the original decision may be set aside if appropriate.

A8.9 Any appeal against a decision taken under the Unfair Means Procedure will be considered in line with the Academic Appeals Procedure as set out in the Handbook.

A9 Academic Appeals against Progression and Examination Decisions

A9.1 Principles

A9.1.1 The Academic Appeals Procedure applies to all assessment points in the postgraduate research student journey: Research Programme Approval; transfer; Annual Assessment of Progress and examination.

A9.1.2 Details of the Academic Appeals Procedure, and how it relates to the postgraduate research

student experience are set out in the Research Student Assessment Policies and Procedures Handbook.

A9.1.2 An appeal cannot be made on the basis of disagreement with 'academic judgement'. 'Academic judgement' means decisions about a student's progression or assessment that can only be made by an appropriate academic expert. Appeals on this basis will be ruled invalid. Appeals submitted outside the published timeframes without good reason, will normally be ruled invalid.

A9.2 Grounds for Appeal

A9.2.1 A request for an appeal against a progression or examination decision shall be valid only if it is based on one or more of the following grounds:

i) that insufficient weight has been given to extenuating circumstances;

ii) that the student's academic performance has been adversely affected by extenuating circumstances which the student has **for good reason** been unable to make known at the time;

iii) that there has been a material administrative error at a stage of the process, or that some material irregularities have occurred;

iv) that the assessment procedure and/or examination(s) have not been conducted in accordance with the approved regulations.

B The Academic Regulations for Higher Doctorate Degree

B1 Principles

1.1 The University awards higher doctorates for work of high distinction as defined below.

B2 Regulations

B2.1 Applications may be made for the following higher doctorates: Doctor of Letters (DLitt)
Doctor of Science (DSc)

Applicants are required to state the higher doctorate award for which they wish to be considered.

B2.2 The work submitted must be of high distinction, must make an original and significant contribution to the advancement of knowledge or to the application of knowledge or to both and must establish that the applicant is a leading authority in the field or fields of study concerned.

B2.3 Applicants should normally:

1 be holders, of at least seven years' standing, of a first degree awarded by a UK university or of a qualification and/or experience at an equivalent level; or
2 be holders, of at least four years' standing, of a doctoral degree awarded by a UK university or of a qualification and/or experience at an equivalent level [1].
3 have engaged in the University's activities.

B2.4 Applicants must submit three copies of the work on which the application is based. The submission may take the form of books, electronic media, contributions to journals, patent specifications, reports, syntheses of knowledge to enhance practice and policy, works of art, specifications and design studies and may also include other relevant evidence of original work. An applicant shall state which part of the submission, if any, has been submitted for another academic award. The contents of a submission must be in English unless specific agreement is given by the University.

B2.5 In addition to the copies of the work on which the application is based, applicants must submit one copy of each of the following, all of which must be word processed:

1 a letter of application;
2 a synoptic commentary not exceeding of 10,000 words setting out the applicant's view of the nature and significance of the work submitted;
3 a full statement of the extent of the applicant's contribution to the work submitted where it involves joint authorship or other types of collaboration.

B2.6 On submission of an application the University will consider whether a prima facie case for proceeding to a formal examination of the application has been established.

If satisfied that such a case has been established the University will, on payment by the applicant of the relevant fee, submit the application to two external examiners, each of whom shall make an independent report to the University. In case of disagreement between the examiners the University may appoint a third external examiner.

B2.7 The University shall retain on open access one copy of the full documentation submitted in support of a successful application. Where there is a requirement for confidentiality there must be a specific agreement on access reached with the University.

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[1] **Holders of a UCLan Professional award in the fields of medicine (MD, MCh or MDCh), or a MD (Res) and MCh (Res) are included in this category.**

B3 Procedures

B3.1. Application

B3.1.1 The student will normally enter into informal discussions with the relevant School prior to submission of the formal application.

B3.1.2 The application shall be submitted to the Research Degrees Board.

B3.1.3 The Research Degrees Board will consider whether there is a prima facie case to proceed to examination and will take whatever advice it considers appropriate and may refer the application back to the applicant for clarification. The revised submission will be considered by the Research Degrees Board.

B3.1.4 The Research Degrees Board will recommend whether or not the student should proceed to examination. If the Research Degrees Board believes that a prima facie case has not been established for the award then it will notify the student applicant of the decision.

B3.1.5 The payment of the relevant fee will be required at this point, following the recommendation to proceed to examination.

B3.2 Examination

B3.2.1 The Research Degree s Board will appoint two external examiners to examine the application.

B3.2.2 Examiners will be independent of the University, have extensive experience in the topic area of the submission and hold a higher doctorate themselves or be of equivalent academic standing. There should be no recent connection with the School; no joint publications with the candidate or other external examiner; no reciprocal arrangements with the External Examiner's School; and no external examiner appointment at undergraduate or postgraduate level.

B3.2.3 Each examiner will submit an independent report and a recommendation as to whether or not the degree should be awarded.

B3.2.4 The examiners' reports and recommendations will be submitted to the Research Degrees Board for consideration.

B3.2.5 If the examiners disagree then the Research Degrees Board may appoint a third external examiner or reject the submission. Where an additional examiner is appointed then the Research Degrees Board may accept a majority recommendation.

B3.2.6 Following successful completion the University will retain on open access one copy of the full documentation submitted in support of the application for the Higher Doctorate award.

B3.3 Reporting

B3.3.1 The Research Degrees Board will report the recommendation to Research and Innovat ion Committee and Academic Board.

B3.4 Celebratory Lecture

B3.4.1 Successful students will be required to give a celebratory lecture within 12 months of receiving the award.

B3.5 Appeal Process

B3.5.1 A student whose application for a Higher Doctorate award is rejected either by the Research Degrees Board or by the examiners may appeal on the following grounds:

1 that there was a material irregularity in the process of considering the application; or
2 that the recommendation of the Research Degrees Board or the examiners was unreasonable.

B3.5.2 Appeals should be submitted to the Vice Chancellor, making the grounds for the appeal clear and providing appropriate documentary evidence. Appeals must be submitted within 28 days of notification of the outcome of the application.

B3.5.3 The Vice Chancellor will ask the Chair of the Research Degrees Board for a report and rationale for the recommendation. If considered appropriate the Vice Chancellor or the Chair may approach at any stage the applicant or the examiners for further information.

B3.5.4 If the Vice Chancellor (or nominee) does not uphold the appeal the decision will stand.

B3.5.5 If the Vice Chancellor (or nominee) upholds the appeal then he /she may:

B3.5.5.1 refer the application back to the Research Degrees Board for further consideration. The outcome of which must be reported back to the Vice Chancellor; and;

B3.5.5. 2 in the case of procedural or other irregularity, the Vice-Chancellor may take specific action on behalf of the Academic Board to amend the decision of the Research Degrees Board or make alternative arrangements for the assessment of the application.

B3.6 Unsuccessful Applications

If the application is unsuccessful the student applicant will not be permitted to reapply for 3 years.

B3.7 Retention of Data

By submitting an application to the University, the applicant agrees that the University may hold and use the information in his/ her application, and any information obtained by the University which relates to the application for the purposes of the applicant's current application and any future applications.