

University Research Degree Regulations

FOREWORD

This document contains details of the University's mandatory requirements for Research Degree Awards, together with explanatory notes which are *in Italics*.

The requirements set out in these Regulations were first approved by Academic Board in 2007 but have subsequently been amended following recommendation by the University Research Degrees Committee and approval by Academic Board on 7th December 2016.

CONTENTS	PAGE NO
G 1 <i>Principles</i>	3
G 2 <i>Admission and Enrolment of Research Students</i>	4
G 3 <i>Application and Qualifications for registration</i>	5
G 4 <i>Induction and Initial Registration</i>	8
G 5 <i>The Registration Period</i>	11
G 6 <i>Supervision</i>	13
G 7 <i>Transfer of Registration from Master to Doctor of Philosophy</i>	14
G 8 <i>Examinations - General</i>	15
G 9 <i>Examination Procedures</i>	17
G 10 <i>The Candidate's Responsibilities in the Examination Process</i>	18
G 11 <i>Examiners</i>	19
G 12 <i>First Examination</i>	21
G 13 <i>Re-examination</i>	24
G 14 <i>Thesis</i>	29
 <i>Submission of a Thesis for Examination/Re-examination</i>	30
 <i>Submission of the Final, Approved Version of the Thesis</i>	32

G 15	<i>Appeal Against a Research Degrees Committee Decision</i>	33
G16	<i>Plagiarism and/or Collusion</i>	36
G17	<i>Complaints, Disciplinary Procedures & Extenuating Circumstances</i>	38
ANNEX 1:		
	<i>The Role and Responsibilities of the Research Degrees Committee</i>	40
ANNEX 2:		
	<i>Role and Responsibilities of Faculty Graduate Research Committees</i>	43
ANNEX 3:		
	<i>List of the University's Research Degree Forms</i>	44
ANNEX 4:		
	<i>Conditions of Award</i>	46
ANNEX 5:		
	<i>Certificate of Award</i>	47
ANNEX 6		
	<i>QAA Qualification Descriptors</i>	48

G 1 Principles

- G1.1** The University shall award the degrees of Master of Philosophy (MPhil) and Doctor of Philosophy (PhD) to registered candidates who successfully complete approved programmes of supervised research.
- G1.2** Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. Furthermore, the proposed programme should be feasible within the permitted registration period. The written thesis may be supplemented by material in other than written form (see G4.2 and G4.3). All proposed research programmes shall be considered for research programme approval on their academic merits and without reference to the concerns or interests of any associated funding body.
- G1.3** The MPhil shall be awarded to a candidate who, having critically investigated and evaluated an approved topic and demonstrated an understanding of and competence in research methods appropriate to the chosen field, has presented and defended a thesis by oral examination to the satisfaction of the examiners.
- G1.4** The PhD shall be awarded to a candidate who, having critically investigated and evaluated an approved topic resulting in an independent and original contribution to knowledge and demonstrated an understanding of and competence in research methods appropriate to the chosen field, has presented and defended a thesis by oral examination to the satisfaction of the examiners.
- G1.5** The University shall encourage collaboration with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards. Such collaboration shall be intended:
- a to encourage outward-looking and relevant research;
 - b to extend the candidate's own experience and perspectives of the work;
 - c to provide a wider range of experience and expertise to assist in the development of the project;
 - d to be mutually beneficial; and
 - e where appropriate, to enable the candidate to become a member of a research community.

Collaboration may be formalised with one or more bodies external to the University. For the purpose of the research degree regulations these shall be referred to as Collaborating Establishments. Formal collaboration shall normally involve the candidate's use of facilities and other resources, including supervision, which are provided jointly by the University and the Collaborating Establishment.

In such cases a formal letter from the Collaborating Establishment confirming the agreed arrangements should be submitted with the application, except where collaboration is an integral part of the project (as for instance with NERC/EPSRC CASE awards). The name(s) of the Collaborating Establishment(s) shall appear on the Candidate's thesis and degree certificate.

G1.6 Registration may only take place following approval, by the Research Degrees Committee of the Academic Board acting on behalf of the University, of the following:

- a the suitability of the candidate to undertake research;
- b the programme of research; and
- c the supervision arrangements and research facilities.

Since this approval requires appropriate academic judgement to be brought to bear on the viability of each research proposal, the Research Degrees Committee shall be composed of persons who are or have recently been engaged in research and who have appropriate experience of successful research degrees supervision (see Annex 1).

G1.7 These Regulations are available electronically to all research students and University staff. They should be read in conjunction with the Code of Practice for Postgraduate Research Students and Supervisors, and Student Handbooks published by the University and at local level by the relevant Faculty or School.

G 2 Admission and Enrolment of Research Students

G2.1 Admission to the University is by receipt of a letter signed by an authorised signatory from the relevant School, specifying any terms and conditions that are appropriate to the intended programme of study. Enrolment shall be conditional on completion of the University application form for postgraduate research programmes (see Annex 3), presentation of the acceptance letter from an authorised signatory and provision of any other relevant information that is required to complete enrolment.

Before commencing any period of supervised research and at the start of each subsequent academic year at the University, all students must complete an enrolment form. They are responsible for ensuring that payment of the appropriate tuition and other relevant fees is made.

This will ensure that the student is eligible to use the University's facilities, providing right of access to the Library, Computing and other facilities, as agreed by Academic Board.

- G2.2** A student who is 'writing up', either with or without attendance at the University, must complete an enrolment form for each year and pay a nominal fee.

G 3 *Application and qualifications for registration*

- G3.1** A person may apply to register, by completing the appropriate form (see Annex 3), for the degree of:

- a Master of Philosophy; or
- b Master of Philosophy with transfer possibility to Doctor of Philosophy;
- c Doctor of Philosophy (direct);

Note: All MPhil Registrations have the possibility of transfer to PhD (see G7).

- G3.2** In approving an application for registration the Research Degrees Committee shall satisfy itself that:

- a the candidate is suitably qualified;
- b the candidate is embarking on a viable research programme;
- c supervision is adequate and likely to be sustained; and
- d the University is able to provide appropriate facilities for the conduct of scholarly research in the area of the research programme.

- G3.3** An applicant for registration for the degree of MPhil shall normally hold a first or upper second class honours degree of the University or of the Council for National Academic Awards or of a university in the UK or a qualification which is regarded by the Research Degrees Committee as equivalent to such an honours degree.

- G3.4** An applicant holding qualifications other than those in G3.3 above shall be considered on his/her merits and in relation to the nature and scope of the programme of work proposed. In considering an applicant in this category, the Research Degrees Committee shall look for evidence of the

candidate's ability and background knowledge in relation to the proposed research.

Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration.

The Research Degrees Committee may require an applicant to pass an externally assessed qualifying examination at final year honours degree level before registration is approved. An applicant wishing to be considered under this regulation shall include in the application for registration the names of two suitable persons whom the University may consult concerning the candidate's academic attainment and fitness for research. In exceptional circumstances one referee may be a member of JMU staff but must not be a member of the applicant's proposed supervision team.

Note: Applicants who can demonstrate by reason of their previous experience that they have the qualifications and abilities to undertake a research programme will be encouraged to apply. Such applicants will be expected to submit appropriate evidence as in G3.4 above. Alternatively, students with non-standard entry qualifications can apply for the MRes or a Professional Doctorate programme.

- G3.5** Direct registration for the degree of PhD may be permitted to an applicant who holds a Master's degree awarded by the University or the Council for National Academic Awards or a UK university or an overseas Master's degree of equivalent standard, provided that the Master's degree is in a discipline which is appropriate to the proposed research and that the Master's degree included training in research and the execution of a research project. The Research Degrees Committee may also register for PhD direct a candidate who, although lacking a Master's degree, has a good honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.
- G3.6** In order to provide an alternative route to a PhD, work from a previously completed Master's degree may be incorporated into a PhD programme (see G10.5). Such work might normally be expected to constitute not more than 25% of the PhD programme. The inclusion of such work shall be considered as a special case by Research Degrees Committee and permission for this must be sought at the time of application for research programme approval.
- G3.7** An applicant whose work forms part of a larger group project may register for a research degree. In such cases each individually registered project

shall in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought. The application shall indicate clearly each individual contribution and its relationship to the group project.

G3.8 Where a research degree project is part of a piece of funded research, the Research Degrees Committee shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate's research degree.

G3.9 The Research Degrees Committee may approve an application from a person proposing to work outside the UK, provided that:

- a there is satisfactory evidence as to the facilities available for the research both in the University and abroad; and
- b the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) based in the UK, including adequate face-to-face contact with the supervisor(s). The candidate should spend normally not less than an average of six weeks per year at the University.

G3.10 Registration is a formal milestone within a student's postgraduate research programme. Faculty Research Degree Committees hold primary responsibility for reviewing student applications for registration prior to formal approval by the University Research Degrees Committee. Applications for research programme approval are expected to be endorsed by local Faculty Research Degree Committees and submitted to the Graduate School within the following time periods from initial enrolment (see G2.1):

- Full-time MPhil / PhD – up to 3 months
- Part-time MPhil / PhD – up to 6 months

Applications received by the Graduate School after these normal periods must be accompanied by a written explanation from the student's Director of Studies providing an explanation for late registration. Approval of applications for registration received outside the stated normal periods will be at the discretion of the University Research Degrees Committee.

G3.11 Where a candidate has previously undertaken research as a registered candidate for a research degree the Research Degrees Committee may approve a shorter than usual registration period which takes account of all or part of the time already spent by the candidate on such research.

The Research Degrees Committee will normally only consider applications for a shortened registration period from applicants within twelve months of termination/withdrawal of their previous registration.

Where a candidate was previously registered at another institution written confirmation of withdrawal, signed by an appropriate signatory from the institution and stating the title and start date of the programme of research, together with the duration of the period of enrolment/registration at the institution is required.

- G3.12** In addition to registration for the award, candidates are required to enrol each year throughout the duration of the registration period (excluding periods of leave of absence) and to complete an annual monitoring report. The enrolment requirements are detailed in section G 2.

G 4 Induction and Initial registration

- G4.1** A candidate shall follow a programme of related studies where this is necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis. This programme shall be intended:

- a to provide the candidate with the skills and knowledge necessary for the pursuit of the proposed research;
- b to provide a body of knowledge normally associated with a degree in the field of study of the proposed research; and
- c to provide breadth of knowledge in the related subjects.

Where the programme of related studies includes an approved programme of studies leading to another award and a candidate is registered for that programme and fulfils all its requirements, he/she may be recommended for that award in addition to the degree of MPhil or PhD (see also G4.7).

- G4.2** A candidate may undertake a programme of research in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. Such creative work may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme. In such cases, the presentation and submission may be partly in other than written form.

The creative work shall be clearly presented in relation to the argument of a written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see G14.5).

The final submission shall be accompanied by some permanent electronic record (for instance, video, photographic record, musical score, and diagrammatic representation) of the creative work, incorporated within the final electronic version of the thesis.

The application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment.

- G4.3** A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.

The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see G14.6).

- G4.4** A candidate for a PhD may undertake an integrated programme of work which, as well as the research element, shall include a programme of postgraduate study on which his/her performance shall be formally assessed.

Such a course of study shall not occupy more than one third of the total period of registration and shall complement the research.

- G4.5** Except where permission has been given for the thesis and the oral examination to be in another language, the Research Degrees Committee shall satisfy itself that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English. Permission to present a thesis in another language shall normally be sought at the time of application for registration. Permission to present a thesis in a language other than English shall normally only be given if the subject matter of the thesis involves language and related studies.

- G4.6** A candidate may register on a full-time or a part-time basis. A full-time candidate shall normally devote on average at least 35 hours per week to the research; a part-time candidate on average at least 12 hours per week.

G4.7 The Research Degrees Committee may permit a candidate to register for:

- a another course of study concurrently with the research degree registration, provided that either the research degree registration or the other course of study is by part-time study and that, in the opinion of the Research Degrees Committee, the dual registration will not detract from the research.

Note: An example might be supporting studies registered for a PgC in Learning & Teaching in HE or a professional qualification required in order to work in a specific field such as Nursing, Pharmacy or Social Work etc.

- b a comparable award at another institution, on the basis of a case for support submitted at the time of research programme approval addressing the following issues:
 - i academic benefit arising from the dual award agreement;
 - ii evidence of international standard of the award at the collaborating institution;
 - iii evidence of experience in joint supervision of students with colleagues in other Universities;
 - iv a Memorandum of Understanding detailing the commitments made by each University and addressing any issues of conflict arising from the Research Degree Regulations of each University;
 - v the research degree registration complies with LJMU Research Degree Regulations in all other respects.

G4.8 Where a candidate or the University wishes the thesis to remain confidential for a period of time after completion of the work, application for approval shall normally be made to the Research Degrees Committee at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, application for the thesis to remain confidential after submission shall be made immediately to the Research Degrees Committee. The period approved shall normally not exceed two years from the date of the oral examination.

Where a period of confidentiality has been approved by the Research Degrees Committee the final electronic version of the thesis (see G14) must be submitted to the University's Electronic Thesis Collection with a signed copy of the relevant Thesis Access Declaration Form. The

deposited thesis will not be made publicly available on-line in accordance with the agreed period of confidentiality.

- G4.9** Research projects involving human volunteers are subject to the Ethics Committee Regulations and Guidelines. It is the responsibility of the research student and/or the project supervisor to obtain the approval of the Ethics Committee, where appropriate. Postgraduate research students are required to complete research ethics training as a condition of research programme approval.

Note: Only those projects involving human volunteers which have been approved by the Ethics Committee are covered by the University's professional indemnity insurance and students should not commence data collection with participants until ethical approval is obtained.

In addition to JMU ethical approval, many projects involving human volunteers will require approval from the Ethics Committees of external institutions (e.g. Education, Health and Social Services). It is the responsibility of the research student and/or the project supervisor to obtain such approval prior to commencement of data collection.

- G4.10** Successful completion of registration for a research degree award requires attendance at the Student Induction to Research at the University. Exemption from this requirement is permitted only under exceptional circumstances at the discretion of the Research Degrees Committee.

G 5 *The Registration Period*

- G5.1** The minimum and maximum periods of registration shall normally be as follows:

	Minimum	Maximum
MPhil		
Full-time	12 months	24 months
Part-time	24 months	48 months
PhD (<i>via transfer from MPhil and including that period of MPhil registration</i>)		
Full-time	33 months	48 months
Part-time	45 months	84 months
PhD (direct)		
Full-time	24 months	36 months
Part-time	36 months	72 months

Note: The minimum period for a PhD candidate engaged in a programme of research including formally assessed postgraduate study shall be 33

months for a full-time student and 45 months for a part-time student (see G4.4).

- G5.2** A full-time candidate shall normally reach the standard for MPhil within 18 months of registration and for PhD within three years of their effective date of registration.
- G5.3** Where there is evidence that the research is proceeding exceptionally well, the Research Degrees Committee may approve a shorter minimum period of registration. An application for such shortening should be submitted on the appropriate form (see Annex 3) at the same time as the application for approval of examination arrangements.
- G5.4** Where a candidate changes from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated on a pro rata basis. Notification of such a change shall be made on the appropriate form (see Annex 3).

Note: This requirement does not apply to registered students who are enrolling as writing up.

- G5.5** A candidate seeking a change to a registered research degree programme shall apply in writing to the Research Degrees Committee for approval.
- G5.6** At least once a year the Research Degrees Committee shall establish whether the candidate is still actively engaged on the research programme and is maintaining regular and frequent contact with the supervisors and shall consider a report from the candidate and the supervisors on the candidate's progress.

As a result of obtaining this report, the Committee shall take appropriate action, which may include the withdrawal of the candidate's registration.

A repeated failure to respond to follow-up from the annual monitoring exercise may be grounds for withdrawing a candidate's registration or imposing sanctions on a member or members of the supervision team. A candidate whose registration has been withdrawn may subsequently reactivate it at the discretion of Research Degrees Committee.

- G5.7** Where a candidate has discontinued the research, the withdrawal of registration shall be notified to the Research Degrees Committee on the appropriate form (see Annex 3). In the absence of a letter from the candidate confirming that he/she wishes to withdraw from registration, the Graduate School will make one final attempt to contact the candidate before registration is withdrawn.

- G5.8** Where the candidate is prevented, by ill health or other cause, from making progress with the research, the registration may be suspended by the Research Degrees Committee, normally for not more than one year at a time. A request for leave of absence should be made on the appropriate form (see Annex 3). The reasons for leave of absence should be clearly and succinctly stated, together with the start and end dates for the period of leave of absence. In exceptional cases, retrospective leave of absence may be sought.

Following leave of absence, the candidate should inform the Graduate School that their registration has been reactivated on the appropriate form (see Annex 3). The exact date of reactivation of registration must be specified on the form.

- G5.9** A candidate shall submit the thesis to the Graduate School of the University before the expiry of the maximum period of registration. The Research Degrees Committee may extend a candidate's period of registration, normally for not more than one year at a time up to a maximum of two years beyond the original expiry date of the registration period (excluding periods of leave of absence). The Research Degrees Committee will consider terminating the registration of candidates who have exceeded the maximum two year period of extension unless clear evidence of on-going progression is demonstrated. A candidate seeking such an extension shall apply on the appropriate form (see Annex 3).

- G5.10** Candidates are liable for tuition fees, bench fees (where applicable) and writing-up fees until such time as they successfully complete their research degree award. Details of all fee liability must be specified in the offer letter. A candidate's degree certificate will not be released unless the appropriate fees have been paid.

G 6 *Supervision*

- G6.1** A research degree candidate shall have at least two and not more than three supervisors.
- G6.2** At least one supervisor shall have had experience of supervising candidates to the successful completion of a UK research degree or a degree considered comparable by the Research Degrees Committee. A supervision team shall normally have had a combined experience of supervising not fewer than three candidates to successful completion. In the case of a PhD registration at least one of the supervisors shall have successfully supervised at PhD level. New supervisors are required to attend supervisor training. Exemption from this requirement is permitted only under exceptional circumstances at the discretion of the Research Degrees Committee.

- G6.3** One supervisor shall be the Director of Studies (first supervisor) with responsibility to supervise the candidate on a regular and frequent basis. The Director of Studies is responsible for ensuring that research degree regulations and procedures are complied with. Where relevant expertise or necessary collaboration can be demonstrated a candidate is permitted an external supervisor however an external supervisor may not act as Director of Studies.
- G6.4** In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or a link with an external organisation.
- G6.5** A candidate for a research degree shall be ineligible to act as Director of Studies for another research degree candidate but may act as a second supervisor or adviser.
- G6.6** The Director of Studies is responsible for ensuring that the Research Degrees Committee is formally notified of any changes to supervision arrangements. In the absence of the Director of Studies this responsibility passes to the remaining members of the supervisory team, who will notify the Chair of the Faculty Graduate Research Committee without delay. In the absence of the Director of Studies or another University supervisor the Chair of the Faculty Graduate Research Committee will propose suitable supervision arrangements.

A proposal for a change in supervision arrangements shall be made to the Research Degrees Committee on the appropriate form (see Annex 3).

G 7 Transfer of Registration from Master to Doctor of Philosophy

This section sets out the requirements relating to application for and assessment of applications to transfer from MPhil to PhD.

- G7.1** A candidate registered initially for MPhil who wishes to transfer to PhD shall apply to the Research Degrees Committee when he/she has made sufficient progress on the work to provide evidence of the development to PhD. In the case of full-time students application to transfer should normally be made within 12 months of initial enrolment and for part-time students within 24 months of initial enrolment.
- G7.2** In support of the application, the candidate shall prepare for the Research Degrees Committee a full progress report on the work undertaken.

The progress report should normally be 3,000 to 4,500 words in length up to a maximum limit of 6,000 words. The progress report must include:

- a a succinct review of the relevant literature and theoretical framework for the research;
- b a brief review and discussion of the work already undertaken; and
- c a statement of the intended further work, including the original contribution to knowledge which is likely to emerge.

G7.3 Before approving transfer from MPhil to PhD the Research Degrees Committee shall be satisfied that the candidate has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion. All candidates will undergo an oral transfer assessment as part of the transfer process. Detailed guidance on the transfer process can be accessed at <https://www2.ljmu.ac.uk/RGSO/81045.htm>.

G7.4 A candidate 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 Degrees Committee for the registration to revert to that for MPhil.

Such application should be made in writing to the Graduate School by the candidate and his or her Director of Studies and should include an explanation of why the request is being made.

G7.5 In the case of a full-time candidate who has been asked to revise and resubmit his/her transfer report, the revised report should be resubmitted normally within a maximum of 1 month from the date of notification of the decision of RDC. In the case of a part-time candidate resubmission should normally be within a maximum of 2 months from the date of notification of the decision of RDC.

Note: In exceptional circumstances, candidates may seek approval from Research Degrees Committee for extensions to the deadlines set out in sections G7.1 and G7.5 above.

G 8 Examinations - General

G8.1 The examination for the MPhil and PhD shall have two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral or approved alternative (see G8.3) examination.

G8.2 A candidate whose programme of work includes formally assessed course work in a programme of work leading to the degree of PhD (see G4.4) shall not be permitted to proceed to a further stage of the examination for

the degree until the course work examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis.

G8.3 A candidate shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause the Research Degrees Committee is satisfied that a candidate would be under 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 candidate's knowledge of the language in which the thesis is presented is inadequate.

G8.4 An oral examination shall normally be held in the UK. In special cases the Research Degrees Committee may give approval for the examination to take place abroad.

In exceptional cases the candidate's Director of Studies may request special permission from Research Degrees Committee for an oral examination to be conducted using video conferencing facilities.

G8.5 Supervisors and advisers may with the consent of the candidate, attend the oral examination as observers. Supervisors and advisors may participate in the discussion at the discretion of the examiners.

G8.6 A candidate may request the presence of an independent chair during their examination. Requests for the presence of an independent chair should normally be made when a candidate submits their thesis for examination.

G8.7 The Research Degrees Committee shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate. The power to confer the degree shall rest with the Academic Board of the University. The date of conferment for a research degree shall be the date when the Vice-Chancellor confirms the award on behalf of the Academic Board.

G8.8 The degree of MPhil or PhD may be awarded posthumously on the basis of a thesis completed by a candidate which is ready for submission for examination. In such cases the Research Degrees Committee shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place.

G8.9 The Research Degrees Committee shall ensure that all examinations are conducted and the recommendations of the examiners are presented wholly in accordance with the University's regulations. In any instance

where the Research Degrees Committee is made aware of a failure to comply with all the procedures of the examination process, including submission of the Examiners' preliminary reports and conduct of the oral examination, it may declare the examination null and void, and appoint new examiners.

The Research Degrees Committee will have the right to impose sanctions on supervisors if a serious breach of Regulations or procedures occurs.

G 9 Examination Procedures

G9.1 The Director of Studies shall propose to the Research Degrees Committee using the appropriate form (see Annex 3) the arrangements for the candidate's examination.* The examination may not take place until the examination arrangements have been approved by Research Degrees Committee. In special circumstances the Research Degrees Committee may act directly to appoint examiners and arrange the examination of a candidate.

**Note: This should be done at least three months before the expected date of the submission and for examinations which are expected to take place in the summer vacation, proposed arrangements must be submitted to the Committee not later than the last meeting in Semester Two.*

G9.2 The Graduate School shall make known to the candidate the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for examination) and any conditions to be satisfied before the candidate may be considered eligible for examination.

G9.3 The Graduate School shall send a copy of the thesis to each examiner, together with the examiners' preliminary report form (see Annex 3) and the University's regulations, and shall ensure that the examiners are properly briefed as to their duties.

G9.4 Each examiner must indicate to the Graduate School within one month of receipt of the thesis, whether or not on the basis of the thesis the candidate should be called for an oral examination. If the thesis is deemed suitable for oral examination the Graduate School will confirm the arrangements for the oral examination. If the thesis is not deemed suitable for oral examination then research degree regulation G12.3 will apply.

G9.5 The Director of Studies shall liaise with the candidate and the examiners to determine a provisional date for the oral examination. A minimum period of 1 calendar month must elapse between the distribution of the thesis to the examiners by the Graduate School and the provisional date

of the oral examination. The Director of Studies shall advise the Graduate School of the provisional date for the oral examination at least 3 weeks in advance of the provisional date. Examiners must submit their preliminary reports on the thesis 14 days in advance of the provisional date for the oral examination.

G 10 The Candidate's Responsibilities in the Examination Process

G10.1 The candidate shall ensure that the thesis is submitted to the Graduate School of the University before the expiry of the registration period unless an extension of the candidate's period of registration has been approved by Research Degrees Committee (see G5.1 and G5.9). The candidate shall submit the required number of copies of the thesis for examination (see G9.2).

G10.2 The submission of the thesis for examination shall be at the sole discretion of the candidate. The candidate shall notify the Graduate School on the appropriate form (see Annex 3) of their intention to submit a thesis 3 months prior to the expected date of submission.

Note: While a candidate would be unwise to submit the thesis for examination against the advice of the supervisors, it is his/her right to do so. Equally, candidates should not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree.

G10.3 The candidate shall satisfy any conditions of eligibility for examination required by the Research Degrees Committee (see Annex 4). The title of the thesis must appear as it was approved by Research Degrees Committee. Any change in the previously approved title must be formally approved by the Chair of Research Degrees Committee.

G10.4 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.

G10.5 The candidate shall confirm, through the submission of a declaration form (see Annex 3), that the thesis has not been submitted for a comparable academic award, except as provided for in G4.7 b). The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated, on the declaration form and also on the thesis, which work has been so incorporated.

G10.6 The candidate shall ensure that the thesis format is in accordance with the requirements of the University's regulations (see G14). Theses must be submitted for examination in a bound form which is sufficiently secure to

ensure that pages cannot be added or removed.*

Note: The Graduate School will not accept theses, which are bound in a format that allows pages to be added or removed.

Following examination the final, approved version of the thesis shall be deposited in the University's Electronic Thesis Collection as a single electronic copy. The candidate shall confirm that the contents of the electronic thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.

**Note: For instance, perfect-binding which is a method of binding single pages by gluing them together on the spine of the document.*

G10.7 Where there are exceptional personal circumstances which could have an adverse effect on the candidate's performance during the examination it is the candidate's responsibility to notify, where possible, their Director of Studies prior to the date of the examination or, if such circumstances arise on the date of the examination, the examiners prior to the commencement of the examination. A decision will then be taken by the director of studies or the examiners, in consultation with the candidate, as to whether the examination should continue or be re-arranged.

G 11 Examiners

G11.1 A candidate shall be examined by at least two and normally not more than three examiners (except where paragraphs 4.7 b), 12.8, 13.2, or 13.8 apply), of whom at least one shall be an external examiner.

G11.2 An internal examiner shall be defined as an examiner who is:

- a a member of staff of the University who is not a supervisor or advisor of the candidate; or
- b a member of staff of the candidate's Collaborating Establishment who is not a supervisor or advisor of the candidate.

G11.3 Where the candidate and the internal examiner are both on the permanent staff of the University, a second external examiner shall be appointed. A candidate who is on a fixed short-term employment contract (for instance, a research assistant) shall be exempt from the requirements of this regulation.

G11.4 Where the candidate and the internal examiner are both on the staff of the Collaborating Establishment, a second internal examiner shall be

appointed. The second internal examiner must be a member of staff of the University but not a supervisor or adviser of the candidate.

G11.5 Examiners shall be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.

G11.6 At least one external examiner shall have substantial experience (that is, normally three or more previous examinations) of examining research degree candidates. In an examination for PhD, at least one external examiner shall have substantial experience of PhD examining.

Note: RDC would normally expect an examination team to include at least 1 internal examiner with some previous research degree examining experience.

G11.7 An external examiner shall be independent of:

- the University and any collaborating establishment,
- the programme of research being examined and,
- the candidate.

An external examiner shall not have:

- acted previously as the candidate's supervisor or adviser or,
- supervised another candidate in the same school within the last 5 years.

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

The Research Degrees Committee shall ensure that the same external examiner is not approved so frequently that his/her familiarity with that particular School might prejudice objective judgement. Research Degrees Committee would expect that an external examiner would not normally be approved more than once in any academic year.

G11.8 No candidate currently registered for a research degree either at this or any other academic institution shall act as an examiner.

G11.9 The University shall determine and pay the fees and expenses of the examiners.

G 12 First Examination

This section sets out the requirements for the first examination of the final thesis.

Note: In determining a candidate's suitability for the award of MPhil or PhD the University refers to the QAA qualification descriptors as detailed in annex 6.

G12.1 Each examiner must indicate to the Graduate School within one month of receipt of the thesis, whether or not on the basis of the thesis the candidate should be called for an oral examination. If the thesis is deemed suitable for oral examination each examiner will be required to read and examine the thesis and submit, on the appropriate form prior to the commencement of the oral examination, an independent preliminary report. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in G1.3 and G1.4) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

Note: Examiners' final recommendations (form RD10B) should normally be completed, signed by all examiners and submitted to the Graduate School within 7 days of the date of the oral examination.

G12.2 The oral examination will take place normally within 3 months of the submission of the thesis. Examiners must submit their preliminary reports on the thesis at least 14 days in advance of the date for the oral examination (see G9.5).

G12.3 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the Research Degrees Committee dispense with the oral examination and refer the thesis for further work. In such cases the examiners shall provide the Research Degrees Committee with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright (see G12.5d)) without holding an oral examination or other alternative examination (see G8.3).

G12.4 Following the oral examination the examiners shall, where they are in agreement, submit, on the appropriate form (see Annex 3), a joint report and recommendation relating to the award of the degree to the Graduate School. 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 Research Degrees Committee to satisfy itself that the examiners recommendation is correct.

Where the examiners are not in agreement, separate reports and recommendations shall be submitted. The recommendations shall be made on the appropriate form.

Note: Examiners' final recommendations (form RD10B) should normally be completed, signed by all examiners and submitted to the Graduate School within 7 days of the date of the viva voce examination.

G12.5 Following the completion of the examination the examiners may recommend that:

- a The candidate be awarded the degree.
- b The candidate be awarded the degree subject to minor amendments being made to the thesis within a period of up to one month from the date of the oral examination.

Examiners must indicate to the candidate and the Research Degrees Committee in writing what minor amendments are required. Such amendments might include, for example, minor omissions of substance, minor typographical errors, occasional stylistic or grammatical flaws, corrections to references, addition or modification of 1 or 2 figures, minor changes to layout. Candidates would not be expected to carry out any further empirical research.

- c The candidate be awarded the degree subject to moderate amendments being made to the thesis within a period of up to three months from the date of the oral examination.

Examiners must indicate to the candidate and the Research Degrees Committee in writing what moderate amendments are required. Such amendments must not be so substantial as to require a full re-examination of the thesis as detailed in recommendation G12.5d below. Such amendments might include, for example, moderate omissions of substance, moderate typographical errors, limited further analysis but such that it will not affect the originality of the central thesis; limited revision of material which is specified in detail by the examiners. Candidates would not be expected to carry out any further empirical research.

- d The candidate be permitted to revise the thesis and re-submit for the degree and be re-examined, with or without an oral examination (see G13) within a period of up to 12 months from the date of the first oral examination.

Examiners must provide RDC with detailed written guidance on the deficiencies of the first submission in the form of a report which can be forwarded to the candidate after RDC has approved the examiners' recommendation. Such revisions might include, for example, more than 10% of the thesis to be amended, typographical/grammatical errors so numerous as to suggest carelessness or so intrusive as to distract the reader's attention from the argument; significant new empirical research required.

- e The candidate be not awarded the degree and be not permitted to be re-examined (see G12.3 and G12.9).
- f In the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners.

Notes:

- (i) *Examiners may indicate informally their recommendations on the result of the examination to the candidate but they shall make it clear that the decision rests with the Research Degrees Committee.*
- (ii) *Details of the changes to the thesis required by the examiners under Regulations G12.5 b, c, d or f above must be appended to the examiners' recommendation when it is forwarded to the Research Support Officer.*
- (iii) *In exceptional circumstances, longer periods than those specified in G 12.5 b, c and d above will be allowed, subject to the prior approval of the Chair of the Research Degrees Committee.*

G12.6 Each of the specified Examiners must confirm their approval of the minor or moderate amendments and corrections to the thesis on the appropriate form (see Annex 3) within one month of receipt of the amended thesis.

G12.7 Where the examiners' recommendations are not unanimous, the Research Degrees Committee 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.

G12.8 Where an additional external examiner is appointed under G12.7c, he/she shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary may conduct a further oral examination

independently of the previous examiners. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Degrees Committee shall complete the examination as set out in G8.6.

G12.9 A further examination in addition to the oral examination may be requested by the examiners. In such cases the approval of the Research Degrees Committee shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two calendar months of the oral examination unless the Research Degrees Committee permits otherwise. Any such examination shall be deemed to be part of the candidate's first examination.

G12.10 Where the Research Degrees Committee decides that the degree be not awarded and that no re-examination be permitted, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Graduate School.

G12.11 Where a candidate is permitted to revise and resubmit his/her thesis for examination under G12.5(c), Research Degrees Committee must review the candidate's supervision arrangements to ensure that they are adequate during the period when the thesis is to be revised and resubmitted.

G 13 Re-examination

This section sets out the requirements for the re-examination of a revised and resubmitted final thesis.

Note: Re-examination includes revising and resubmitting a thesis prior to any oral examination.

G13.1 One re-examination may be permitted by the Research Degrees Committee, subject to the following requirements:

- a a candidate who fails to satisfy the examiners at the first examination, including where appropriate the oral or approved alternative examination (see G8.3) or any further examination required under G12.9 may, on the recommendation of the examiners and with the approval of the Research Degrees Committee, be permitted to revise the thesis and be re-examined.
- b the examiners shall provide the candidate, through the Research Degrees Committee, with written guidance on the deficiencies of the first submission; and

- c the candidate shall submit for re-examination within the period of one calendar year from the date of the latest part of the first examination; where the Research Degrees Committee has dispensed with the oral examination the re-examination shall take place within one calendar year of the date of this dispensation. The Research Degrees Committee may, where there are good reasons, approve an extension of this period.
- d the candidate must confirm in writing to the Graduate School his/her intention to revise and resubmit normally within one month of notification of the requirement to do so by Research Degrees Committee.

G13.2 The Research Degrees Committee may require that an additional external examiner be appointed for the re-examination.

Note: Additional external examiners should be proposed by the candidate's Director of Studies and approved by RDC in accordance with Regulations G11.6 and G11.7.

G13.3 There are five forms of re-examination:

- a where the candidate's performance in the first oral or approved alternative examination (see G8.3) or further examination (see G12.9) was satisfactory but the thesis was unsatisfactory and the examiners on re-examination certify that the thesis as revised is satisfactory, the Research Degrees Committee may exempt the candidate from further examination, oral or otherwise;
- b where the candidate's performance in the first oral or approved alternative examination (see G8.3) or further examination (see G12.9) was unsatisfactory and the thesis was also unsatisfactory, any re-examination shall include a re-examination of the thesis. An oral or approved alternative examination shall be held, provided that at least one independent examiner (see G11.2(b) and G11.7) deems it appropriate;
- c where on the first examination the candidate's thesis was so unsatisfactory that the Research Degrees Committee dispensed with the oral examination, any re-examination shall include a re-examination of the thesis and an oral or approved alternative examination (see G8.3);
- d where on the first examination the candidate's thesis was satisfactory but the performance in the oral and/or other examination(s) was not

satisfactory (see G8.3 and G12.9) the candidate shall be re-examined in the oral and/or other examination(s), subject to the time limits prescribed in G13.1c, without being requested to revise and re-submit the thesis;

- e where on the first examination the thesis was satisfactory but the candidate's performance in relation to the other requirements for the award of the degree was not satisfactory, the examiners may propose instead a different form of re-examination to test the candidate's abilities; such examination may take place only with the approval of the Research Degrees Committee.

Note: Other requirements in addition to the thesis i.e. oral or other form of examination.

G13.4 In the case of a re-examination under regulations 13.3a, b or c, each examiner shall read and examine the thesis and submit, on the appropriate form, an independent preliminary report on it to the Graduate School 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 (as set out in G1.3 and G1.4) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

The re-examination will take place normally within 3 months of the resubmission of the revised thesis for re-examination.

G13.5 Following the re-examination of the thesis under regulations G13.3a or following an oral or other examination under G13.3b, c, d or e, the examiners shall, where they are in agreement, submit, on the appropriate form, a joint report and recommendation relating to the award of the degree to the Graduate School. 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 Research Degrees Committee to satisfy itself that the recommendation chosen is correct.

Where the examiners are not in agreement, separate reports and recommendations shall be submitted. The recommendations shall be made on the appropriate form (see Annex 3).

Note: Examiners' final recommendations (form RD11B) should normally be completed, signed by all examiners and submitted to the Graduate School within 7 days of the date of any oral examination (if applicable) or within 14 days of the date of any other examination under G13.3b, c, d or e.

G13.6 Following the completion of the examination the examiners may recommend that:

- a The candidate be awarded the degree.
- b The candidate be awarded the degree subject to minor amendments being made to the thesis within a period of up to one month from the date of the oral examination.

Examiners must indicate to the candidate and the Research Degrees Committee in writing what minor amendments are required. Such amendments might include, for example, minor omissions of substance, minor typographical errors, occasional stylistic or grammatical flaws, corrections to references, addition or modification of 1 or 2 figures, minor changes to layout. Candidates would not be expected to carry out any further empirical research.

- c The candidate be awarded the degree subject to moderate amendments being made to the thesis within a period of up to three months from the date of the oral examination.

Examiners must indicate to the candidate and the Research Degrees Committee in writing what moderate amendments are required. Such amendments might include, for example, moderate omissions of substance, moderate typographical errors, limited further analysis but such that it will not affect the originality of the central thesis; limited revision of material which is specified in detail by the examiners. Candidates would not be expected to carry out any further empirical research.

- d The candidate be not awarded the degree and be not permitted to be re-examined (see G13.11 and G13.12).
- e In the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners.

Notes:

- (i) *Examiners may indicate informally their recommendations on the result of the examination to the candidate but they shall make it clear that the decision rests with the Research Degrees Committee.*
- (ii) *Details of the changes to the thesis required by the examiners under Regulations G13.6 b, c or e above must be appended to the examiners' recommendation when it is forwarded to the Research Support Officer.*

- (iii) *In exceptional circumstances, longer periods than those specified in G13.6 b and c above will be allowed, subject to the prior approval of the Chair of the Research Degrees Committee.*
- (iv) *Extensions to the 3 calendar month limit specified in G13.6c above may only be requested in exceptional circumstances such as ill health or bereavement.*

G13.7 Each of the specified Examiners must confirm their approval of the minor or moderate amendments and corrections to the thesis on the appropriate form (see Annex 3) within one month of receipt of the amended thesis.

G13.8 Where the examiners' recommendations are not unanimous, the Research Degrees Committee 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.

Note: Additional external examiners should be proposed by the candidate's Director of Studies and approved by RDC in accordance with Regulations G11.6 and G11.7.

G13.9 Where an additional external examiner is appointed under regulation G13.8c, he/she shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination independently of the previous examiners. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Degrees Committee shall complete the examination as set out in regulation G8.6.

G13.10A further examination in addition to the oral examination may be requested by the examiners. In such cases the approval of the Research Degrees Committee shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two calendar months of the oral examination unless the Research Degrees Committee permits otherwise.

Note: The Chair of Research Degrees Committee or his/her Deputy will have delegated authority to approve such requests on behalf of the committee.

G13.11 In the case of a re-examination under regulation G13.3b, where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting a further oral examination, they may recommend that the Research Degrees Committee dispense with the further oral examination and not award the degree under regulation G13.6c (see also G13.12).

G13.12 Where the Research Degrees Committee decides that the degree be not awarded; the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Graduate School.

Note: The agreed statement of the examiners should be prepared and submitted to RDC along with the examiners' final recommendation so that the committee's decision can be made in the full knowledge of the examiners' reasons for the final recommendation.

G 14 Thesis

G14.1 Except with the specific permission of the Research Degrees Committee the thesis shall be presented in English.

G14.2 The thesis shall include the following:

- an abstract of approximately 300 words which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.

G14.3 Where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

G14.4 The candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work.

G14.5 The text of the thesis should normally not exceed the following length (excluding ancillary data such as publications, primary data or ancillary methodologies, where appropriate).

	MPhil	PhD
Science, Engineering, Art and Design	20,000	40,000
Arts, Built Environment*, Business Studies, Social Sciences, Education and Law	40,000	80,000
<i>*Theses from the School of the Built Environment may, if the subject is of a Scientific / Engineering nature be restricted to 40,000/20,000 words.</i>		

Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of scholarly edition, the written thesis should normally be within the range:

PhD 30,000 to 40,000 words

MPhil 15,000 to 20,000 words

These limits may only be exceeded under exceptional circumstances at the discretion of the Chair of the Research Degrees Committee.

The candidate and their Director of Studies must provide the Graduate School with a written explanation of why the word limit has been exceeded.

Submission of theses for examination / re-examination

G14.6 Candidates must submit to the Graduate School bound copies of his/her thesis for each member of the approved examination team (see G10.6).

G14.7 The following requirements shall be adhered to in the format of the submitted thesis for examination:

a theses shall normally be in A4 format; under exceptional circumstances the Research Degrees Committee may give permission for a thesis to be submitted in another format;

b the thesis shall be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x);

- c the thesis shall be printed single-sided throughout; the paper shall be white and within the range 70 g/m² to 100 g/m²;
- d the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- e double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
- f. pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
- g the title page* shall give the following information:
 - i the full title of the thesis;
 - ii the full name of the author;
 - iii that the degree is awarded by the University;
 - iv the award for which the thesis is submitted in partial fulfilment of its requirements;
 - v the Collaborating Establishment(s), if any; and
 - vi the month and year of submission.

*Note: *See specimen title page below*

<p><i>Specimen thesis title page</i></p> <p>THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX</p> <p>JOHN JAMES SMITH</p> <p>A thesis submitted in partial fulfilment of the requirements of Liverpool John Moores University for the degree of Master of Philosophy</p> <p>This research programme was carried out in collaboration with the Borchester Farmers' Club</p> <p>April 2006</p>
--

G14.8 Copies of any published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.

G14.9 The copies of the thesis submitted for examination shall remain the property of the University but the copyright in the thesis shall be vested in the candidate.

Submission of the final, approved version of the thesis

G14.10 Following the award of the degree the successful candidate must complete and submit the E-Thesis Access Declaration and Deposit Agreement Form to the Graduate School.

G14.11 A single, electronic copy of the final, approved version of the thesis must be lodged in the LJMU Electronic Thesis Collection. The electronic copy must be prepared and submitted in line with the University's Repository policy.

In preparing the thesis for deposit in the Electronic Thesis Collection successful candidates should be aware of, and have taken steps to address, any issues relating to the use of 3rd party copyright materials in the thesis.

Where a candidate is unable to obtain permission for any 3rd party copyright material they should refer to the University's Guidance on Restricting Access to Your Thesis for advice on how to submit their thesis to the LJMU Electronic Thesis Collection.

The University's policy and guidance documents relating to the Electronic Thesis Collection can be found at:

<https://www2.ljmu.ac.uk/etheses/index.htm> together with the E-Thesis Access Declaration and Deposit Agreement Form.

G14.12 Where the Research Degrees Committee has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available the thesis shall, immediately on submission to the LJMU Electronic Thesis Collection be stored securely and, for a time not exceeding the approved period (see G4.8), shall only be made available to those who were directly involved in the project.

The Research Degrees Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged, to protect commercially or politically sensitive material or to protect priority in publication of your thesis in whole or in part. A thesis shall not be restricted in this way in order to protect research leads.

While the normal maximum period of confidentiality is two years, in exceptional circumstances the Research Degrees Committee may approve a longer period. Where a shorter period would be adequate the Research Degrees Committee shall not automatically grant confidentiality for two years.

G14.13 The Candidate's degree certificate shall not be released until an electronic copy of the final, post-oral examination, corrected and approved

version of the thesis has been submitted to the LJMU Electronic Thesis Collection.

The Candidate shall submit the final electronic copy of the thesis within 1 month of confirmation of the examiners' final recommendation regarding conferment of the award. In the case of a candidate who is required to make minor or moderate amendments and corrections to the thesis, this shall be within 1 month of the relevant examiner(s) confirmation that the amendments and corrections have been made to his/her satisfaction.

G 15 Appeal Against a Research Degrees Committee Decision

This section sets out the grounds for academic appeal and the procedure for academic appeals. Academic appeals can relate to decisions made by the Research Degrees Committee on the outcomes of the following:

- (a) MPhil/PhD transfer assessments or reassessments;*
- (b) Final examination for the award of MPhil or PhD;*
- (c) Final re-examination for the award of MPhil or PhD;*
- (d) Recommendation for termination of a student's research degree registration.*

G15.1 The Research Degrees Committee may be required to review its decision if, following the procedure for appeals detailed below it has been established that:

- there has been a material administrative error or;
- that any assessment, in whatever format, was not conducted in accordance with current regulations or;
- that some other material irregularity has occurred.

Procedure for Appeals

G15.2 Where a candidate wishes to appeal an RDC decision they must lodge the appeal with Legal & Governance Services using appeal form which can be found at:

<https://www.ljmu.ac.uk/about-us/public-information/student-regulations/appeals-and-complaints>

Appeals must be lodged within ten days from the date of notification of the RDC decision. The University reserves the right not to progress appeals if they are submitted outside of the specified time limits. Discretion will only be given where there are exceptional reasons for late submission, supported by independent evidence.

The request for academic appeal should include any relevant supporting documentation / evidence. Where such documentation is not available at

this time this must be indicated on the form and supplied within a maximum of ten working days.

G15.3 Initial Assessment

On receipt of the form, an **initial assessment** will be undertaken to determine whether the appeal is submitted within the deadlines and the eligibility of the appeal i.e. whether the appeal contains reference to, or evidence to support an assertion of a material irregularity.

Appeals that are out of time or ineligible will not be accepted. Appellants will be formally notified of this and issued with a Completion of Procedures letter.

Appeals that are eligible and are in time will be considered under Stage 1 of the procedure. Student Governance will notify the appellant in writing whether the appeal will be progressed to Stage 1 of the procedure.

In some cases Student Governance may contact appellants to obtain further information or refer them to a different procedure for example the Student Complaints Procedure.

Stage 1

The appeal shall first be considered by a nominated Director of a different School or Faculty. The nominee will formally respond to the appeal within 10 days of the outcome of the appeal and any recommendations made.

G15.4 If there is evidence that that there has been a material administrative error or, that the assessment, in whatever format, was not conducted in accordance with current regulations or that some other material irregularity has occurred the appeal will be Upheld.

Appellants will be notified of the reason for the decision and any action to be taken. For example, the Research Degrees Committee or Academic Misconduct Panel may be required to reconvene to reconsider their decision(s) in light of the findings.

Where the appeal is upheld the nominee shall formally notify the appellant and send a copy to Legal & Governance Services, the Graduate School and the University RDC giving the grounds on which the appeal has been upheld.

The nominee will recommend appropriate action to the University RDC depending on the nature of the appeal.

- That the original decision be reconsidered;

- That the candidate be permitted to undertake a further oral assessment event;
- That new transfer assessors be appointed; or
- That new examiners be appointed.

Note: any recommendations made must be formally approved by the University RDC and will normally be implemented within 90 days.

If the appellant is dissatisfied with the outcome of the above then they may make representations at Stage 3 (see G15.7).

G15.5 Where the appeal is not upheld the relevant shall provide the appellant, Legal & Governance Services, the Graduate School and the University RDC with a full detailed rationale for the decision.

Stage 2

G15.6 Where the appeal is not upheld (see G15.5), the appellant has a further opportunity of appeal to the Appeals Panel (AP). Where an appeal is requested by a postgraduate research student at stage 2 the AP shall include at least one person having experience of supervising and examining research degrees and who have had no previous involvement in the case. The appellant must exercise this further appeal within 10 working days of the notification of the outcome of the Stage 1 appeal. The Stage 2 appeal should be submitted to Legal & Governance Services.

The appellant must submit to the AP a full statement and supporting evidence detailing why they consider the Stage 1 appeal was determined incorrectly. The AP will then consider:

- the appellant's original appeal;
- the University's response to the appellant and;
- the appellant's supplementary statement to the AP.

All meetings will be formally minuted and the Secretary to the AP will convey the outcome in writing to the appellant, the Graduate School and the University RDC.

On the basis of this consideration, the AP will decide one of the following:

- The Stage 1 decision is correct and the appeal is not Upheld
- The Stage 1 decision is incorrect and the appeal is Upheld or Upheld in Part.

If the Stage 2 appeal is upheld the Appeals Panel will request that the Research Degrees Committee or Academic Misconduct Panel should

reconvene or that other appropriate action is taken and will notify the appellant accordingly.

Appellants will be notified of the expected deadline for a response and if there are any delays or extensions to this deadline. The University endeavours to complete all stages of the procedures within 90 calendar days.

Further information on Appeals Panels can be found at:

<https://www.ljmu.ac.uk/about-us/public-information/student-regulations/appeals-and-complaints>

G15.7 If the appellant is dissatisfied with the outcome of the Stage 2 Appeal or the decision of the University RDC following a Stage 1 Appeal, and believes that the appeals procedures have not been conducted properly, then s/he has a right to lodge a stage 3 appeal.

Stage 3 appeals must be made within ten working days of the notification of the decision of the University RDC, or Academic Appeals Panel. The appellant must be advised that this is not a re-opening of the appeal and that s/he must provide reasonable evidence of procedural impropriety.

Following a decision from the stage 3 appeal, the appellant must be formally notified that s/he has exhausted all internal procedures of the University and that the matter is now closed.

G15.8 Students, who are dissatisfied with the outcome of their appeal and believe that the University has failed to follow this procedure correctly, may take their case to the Office of the Independent Adjudicator for Higher Education <http://www.oiahe.org.uk>.

G16 *Plagiarism and/or Collusion*

G16.1 Plagiarism includes the representation of the work, in whole or in part, written or otherwise, of any other person, from any sources, whatsoever, as the candidate's own. Examples of plagiarism may be as follows:

- a. the verbatim copying of another's work without clear identification and acknowledgement;
- b. the close paraphrasing of another's work by simply changing a few words or altering the order of presentation, without clear identification and acknowledgement;
- c. unidentified and unacknowledged quotation of phrases from another's work;

- d. the deliberate and detailed presentation of another's concept from the public domain as one's own.

G16.2 Collusion includes the conscious collaboration, without official approval, between two or more students in the preparation and production of work which is ultimately submitted by each in an identical or substantially similar form and/or is represented by each to be the product of his or her individual efforts. Collusion also occurs where there is unauthorised co-operation between a student and another person in the preparation and production of work which is presented as the student's own.

G16.3 Students must be provided with clear guidance and instruction early in the programme of research on the preparation and presentation of work. Clear guidelines on how to approach research should be given, with particular reference to the incorporation and use of source material, e.g. use of quotations, references, bibliography etc. Students should also be provided with clear parameters about approved group work so that there is no ambiguity between group work and plagiarism/collusion. The guidance must make students aware of the serious nature of plagiarism and/or collusion and must indicate, therefore, the likely consequence of such activity. The University's Code of Practice for Research can be found at the following web address: <http://www2.ljmu.ac.uk/RGSO/102121.htm>

G16.4 Any examiner suspecting plagiarism and/or collusion must report the matter to the Graduate School which in turn will notify the Chair of Research Degrees Committee and, in line with the University's Procedure for the Investigation of Alleged Misconduct in Research the University's Director of Research. Pending the outcome of any investigation, the Research Degrees Committee will not consider the examiners' reports until it has been adjudged whether or not an offence has been committed. Any discussion of the suspicion with the candidate or anyone else must be avoided except as provided in the University's procedures.

G16.5 Any investigation will be carried out in line with the University's Procedure for the Investigation of Alleged Misconduct in Research, which can be found at: <http://www2.ljmu.ac.uk/RGSO/99019.htm>

G16.6 The Research Degrees Committee must accept the decision of any Academic Misconduct Panel or hearing. Where the allegation has been upheld in part or in full and the candidate has been permitted a further opportunity for assessment following revision of the thesis or be deemed to have failed this will be formally approved by the Research Degrees Committee.

G17 Complaints, Disciplinary Procedures and Extenuating Circumstances

G17.1 Student Complaints

All formal student complaints are dealt with under the University's Student Complaints Procedure, details of which can be found at:

<https://www.ljmu.ac.uk/about-us/public-information/student-regulations/appeals-and-complaints>

Issues relating to supervision which are not able to be resolved informally and by other means should be raised through this procedure. They may not be dealt with via the academic appeal procedure.

Students should raise complaints locally in the first instance if appropriate.

The deadline for submitting a complaint is a maximum of 3 calendar months after the incident, matter or concern.

Independent advice is available from Liverpool Students' Union on 0151 231 4900 or by email at lsuadvice@ljmu.ac.uk

G17.2 Student Discipline

The University reserves the right to suspend or discontinue a student's period of supervised research, if it is established that:

1. A breach of the Student Code of Behaviour has occurred; or
2. Research Misconduct has occurred; or
3. The research performance of the student is judged to be wholly unsatisfactory for continuation of study.

Breaches of the Student Code of Behaviour will be investigated under the Student Code of Behaviour & Student Disciplinary Procedures, which can be found at:

<https://www.ljmu.ac.uk/about-us/public-information/student-regulations/guidance-policy-and-process>

Allegations of research misconduct will be investigated under the Procedure for the Investigation of Alleged Misconduct in Research, details of which can be found at: <http://www2.ljmu.ac.uk/RGSO/99019.htm>

Unsatisfactory research performance will be dealt with under the withdrawal/termination of postgraduate research students procedure, details of which can be found at:

<https://www2.ljmu.ac.uk/RGSO/88129.htm>

G17.1 Extenuating Circumstances

Extenuating Circumstances relating to oral assessment events are dealt with under the University's Procedure for Declaration of Extenuating Circumstances Relating to Oral Assessment Events for Postgraduate Research Students, details of which can be found at: <https://www2.ljmu.ac.uk/RGSO/131003.htm>

This procedure relates to the following oral assessment events under the University's Research Degree Regulations:

- (a) MPhil/PhD transfer assessment events and re-assessment events;
- (b) oral examination events for students submitting a thesis for the degree MPhil or PhD;
- (c) oral re-examination events for students resubmitting a revised thesis for the degree MPhil or PhD.

Students must be aware that submission of an Extenuating Circumstances application is not in itself a guarantee that the Extenuating Circumstances will be accepted.

ANNEX 1

THE ROLE AND RESPONSIBILITIES OF THE RESEARCH DEGREES COMMITTEE

Powers and responsibilities of the Research Degrees Committee

1. The Academic Board of the University has established a Research Degrees Committee with the following powers:
 - a to register students for MPhil, MPhil/PhD or for PhD direct, on approved programmes of work under approved supervision;
 - b to transfer registration from MPhil to PhD;
 - c to exercise all other responsibilities for the registration, supervision, transfer, leave of absence and extension of registration which have been delegated to it and to approve examination arrangements;
 - d to complete the examination process in respect of individual candidates by deciding upon the examiners' recommendations; and
 - e to act upon the recommendations of the Appeals Panels.
2. The Research Degrees Committee shall be responsible for:
 - a the general arrangements under which the candidate's research is carried out, including arrangements for academic supervision and postgraduate study and the provision of adequate facilities to enable the candidate to conduct and complete the research programme in an efficient and safe manner; and
 - b approving examination arrangements.
3. The Research Degrees Committee shall assume full responsibility for and have appropriate mechanisms for dealing with all stages of the activities delegated to it, including responsibility for dealing with the recommendations of examiners.
4. The Research Degrees Committee shall ensure that the interests of students are protected and that the standard of awards is maintained under the University's regulations for research degrees.
5. The Research Degrees Committee assigns responsibilities to a local Faculty Graduate Research Committees as specified in Annex 2. It may

also operate through sub-groups set up for specific tasks to report to the main committee.

Membership

1. The membership of the Research Degrees Committee shall be constituted to ensure:
 - a appropriate experience of completed research degree supervision;
 - b appropriate experience of examining research degrees;
 - c a wide range of research experience including research-based publications;
 - d subject expertise to reflect the range of disciplines in which students are registered as far as is reasonably practicable; and
 - e familiarity with the University's regulations for research degrees.
2. The above implies that:
 - a a majority of members of the Research Degrees Committee shall have supervised three or more candidates to successful completion of PhD degrees;
 - b a substantial proportion shall have had experience of examining research degrees;
 - c there shall be clear evidence that members have or are engaged in research activities leading to publication; and
 - d there is sufficient expertise represented on the Research Degrees Committee to ensure that each application can be dealt with appropriately.
3. Members may be co-opted onto the Research Degrees Committee for a period of no longer than one year.

Constitution and terms of reference of the Research Degrees Committee

There shall be a constitution whose terms of reference shall include:

1. the role and function of the committee;
2. the membership criteria and period of office;
3. the quorum required;
4. the required frequency of meetings; and
5. the powers of the committee.

ANNEX 2

THE ROLE AND RESPONSIBILITIES OF FACULTY RESEARCH DEGREES COMMITTEES

1. Screening research proposals for all MPhil and PhD degrees prior to their submission to RDC, with particular reference to the plan of work and other academic matters. Final validation will remain with RDC.
2. Conducting an annual monitoring exercise for all research students enrolled in Schools of the Faculty. A summary Annual Report including monitoring of supervisory arrangements, progression and completion rates will be provided to RDC.
3. Screening examination arrangements. Final approval will remain with RDC.
4. Ensuring appropriate programmes of research seminars are organised for students in each School.
5. Securing representation for all Schools and coverage of major disciplines, at its meetings.
6. Meeting regularly commensurate with RDC's schedule of meetings.
7. Co-ordinating local research student's inductions and ensuring availability and currency of appropriate research student handbooks.
8. Overseeing the co-ordinating and monitoring of Professional Doctorates across the Faculty.
9. Approval of independent assessors for student's transfer examinations

ANNEX 3

LIST OF THE UNIVERSITY'S RESEARCH DEGREE FORMS

9A	Application for postgraduate research programmes
9R	Application for research programme approval
9T	Application for transfer of registration from Master of Philosophy to Doctor of Philosophy
9Ext	Application for extension of period of registration
9S	Application for change in approved arrangements for supervision
9LOA	Application for leave of absence
9Reac	Notification of reactivation of registration
9E	Application for approval of examination arrangements
9Sub	Notification of intention to submit a thesis for examination
9M/S	Notification of change in approved mode of study
9W	Notification of withdrawal of registration
9Term	Recommendation for termination of research degree registration
10PhDA	Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy
10MPhilA	Preliminary report and recommendation of an examiner on a candidate for the degree of Master of Philosophy
10PhDB	Recommendation of the examiners on a candidate for the degree of Doctor of Philosophy
10MPhilB	Recommendation of the examiners on a candidate for the degree of Master of Philosophy
10Conf	Confirmation of approval of required minor amendments and corrections to a thesis
10Decl	Candidate's declaration form

- 11PhDA Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy (re-examination)
- 11MphilA Preliminary report and recommendation of an examiner on a candidate for the degree of Master of Philosophy (re-examination)
- 11PhDB Recommendation of the examiners on a candidate for the degree of Doctor of Philosophy (re-examination)
- 11MPhilB Recommendation of the examiners on a candidate for the degree of Master of Philosophy (re-examination)
- RD41 External Supervisors experience form (supplementary to 9R)
- RD42 External Examiners experience form (supplementary to 9E)
- RD43 Research experience of RDC member
- RD15 Assessor's Report form (Transfer to PhD)
- RD13 Notification of Registration
- RD45 Annual Report (Director of Studies/Student)

ANNEX 4

CONDITIONS OF AWARD

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

1. the candidate was an enrolled student at the time of submission of his or her thesis for assessment for an award;
2. payment of all appropriate tuition and other relevant fees has been made;
3. the conferment of the award has been recommended by the Research Degrees Committee following the written recommendation of the examiners;
4. the recommendation of the award has been endorsed by the Vice Chancellor or his/her nominated Deputy on behalf of the Academic Board and signed by the designated signatory on behalf of the Academic Board.
5. the candidate must have confirmed that the thesis is his or her own work and that it has not been submitted for a comparable academic award.
6. the candidate must have submitted an electronic copy of the final, post-oral examination, corrected and approved version of the thesis to the LJMU Electronic Thesis Collection as per Regulations G14.10 and G14.13.

Note: The Candidate's degree certificate shall not be released until all conditions of award have been met.

ANNEX 5

CERTIFICATE OF AWARD

The certificate of an award conferred by the University shall record:

1. the name of the University together with (if appropriate) the name of any other institution sharing responsibility for the student's programme of research;
2. the student's full name as given on the final recommendation of the award;
3. the award and date of conferment;
4. the title of the thesis;
5. the certificate shall be signed by the Chair of the Board of Governors of the University and the Chief Executive of the University.

ANNEX 6

QAA QUALIFICATION DESCRIPTORS

Descriptor for a higher education qualification at level 7: Master's degree

Master's degrees are awarded to students who have demonstrated:

- a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice
- a comprehensive understanding of techniques applicable to their own research or advanced scholarship
- originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline
- conceptual understanding that enables the student:
 - (a) to evaluate critically current research and advanced scholarship in the discipline
 - (b) to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically, holders of the qualification will be able to:

- deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences
- demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level
- continue to advance their knowledge and understanding, and to develop new skills to a high level.

And holders will have:

- the qualities and transferable skills necessary for employment requiring:
 - the exercise of initiative and personal responsibility
 - decision-making in complex and unpredictable situations
 - the independent learning ability required for continuing professional development.

Descriptor for a higher education qualification at level 8: Doctoral degree

Doctoral degrees are awarded to students who have demonstrated:

- 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 general 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.

Typically, holders of the qualification 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.

And holders will have:

the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and