



Senate

Paper Title	Academic Regulations and Code of Practice for research degree programmes: updates for 2014-15
Outcome requested	Senate is asked to consider and approve the updates to the Regulations and Code of Practice.
Points for members to note and further information	<p>Amendments for 2014/15 are in track changes, with significantly amended sections also highlighted. The principal changes relate to:</p> <ul style="list-style-type: none"> • amendments (throughout) required to align the Regulations with the framework for professional doctorates (being considered concurrently) • amended requirement for at least one member of formal progress review panels to be independent of the supervisory team (Regulations 8.63) • a requirement for a formal progression review in years 2 and 3 of a research degree programme – format of these to be determined by each School (Regulations 8.61-6) • reference to the QMUL Policy on Research Integrity and associated processes (Regulations 8.52, 8.116, Code of Practice 36, 37, 55). <p>Research Degrees Programmes and Examinations Board has proposed that, during 2014-15, a more significant revision of the Regulations and Code of Practice will be conducted, to include a review of the criteria for appointment of examiners for research degrees in the light of QMUL's degree awarding powers and developments to existing practice. The relationship between the Regulations and the Code of Practice will also be considered in depth. Recommendations will be made to Senate at the end of 2014-15 for adoption in 2015-16.</p>
Questions to consider	Senate is asked to consider the amendments, particularly those outlined above.
Regulatory/statutory reference points	QAA Framework for Higher Education Qualifications and chapter B11 of the QAA Quality Code.
Strategy and risk	Compliance with the Quality Code will be assessed as part of QMUL's QAA review in 2016.
Author	Rhiannon Thompson, ARCS

Academic Regulations

Part 8 – Research Degrees

Scope

- 8.1 These regulations take effect from September 201~~4~~³ and apply to all research studies programmes and all students registered for a research studies programme at QMUL. A student who enters for examination is examined⁴ in accordance with the regulations in place at the time of examination entry or re-entry.
- 8.2 The Academic Regulations, Part 2 – General Regulations apply to students registered for a research studies programme at QMUL. The regulations for taught programmes of study apply to research degree students who are required to undertake an element of taught study as a part of their research studies programme.
- 8.3 The Academic Regulations for Research Degrees take account of the University of London Regulations for the Degrees of MPhil, PhD and Regulations for the Degree of MD(Res). Research degrees awarded by Queen Mary University of London are awards of the University of London or of Queen Mary University of London.
- 8.4 In 2013/14, QM~~UL~~ ~~will~~ ~~implemented~~ its independent degree awarding powers for the first time. New and continuing students in 2013/14 ~~were~~~~shall~~ ~~be~~ given the option of receiving either a QM~~UL~~ award or a University of London award, where appropriate. Students ~~must~~~~were~~ ~~required~~ ~~to~~ make their selections before the published deadline in 2013/14 and in accordance with the stated procedure. New students from 2014/15 will not have this option, and shall be awarded QM~~UL~~ awards where the requirements are met.
- 8.5 These regulations also apply to students registered as an associate student of ~~QMUL~~~~the College~~ undertaking study that is part of a research studies programme.
- 8.6 The awards covered by these regulations are:
- | University of London Awards | QMUL awards |
|--|--|
| Master of Philosophy (MPhil) | Master of Philosophy (MPhil) |
| Doctor of Philosophy (PhD) | Doctor of Philosophy (PhD) |
| Doctor of Medicine (Research) (MD(Res)) | Doctor of Medicine (Research) (MD(Res)) |
| Doctor in Professional Studies (DrPS) | Doctor in Professional Studies (DrPS) |
| Doctor in Clinical Dentistry (DClinDent) | Doctor in Clinical Dentistry (DClinDent) |
- 8.7 All references to ‘Academic Regulations’ include ‘research studies programme regulations’.
- 8.8 ~~The College~~ ~~QMUL~~ reserves the right to amend the Academic Regulations as it considers appropriate.

⁴ ~~This regulation is derived from the University of London regulations~~

Research Studies Programme Regulations

8.9 Research Studies Programme Regulations are those regulations that apply to research students and research programmes at Faculty and School/Institute or subject level. Research Studies Programme Regulations are a sub-set of the Academic Regulations. Research Studies Programme Regulations do not diverge from the standard Academic Regulations; they are intended to provide a greater level of detail and amplify the Academic Regulations. Where Research Studies Programme Regulations are silent in any regard, default to the Academic Regulations normally occurs.

Admission

8.10 The normal minimum entry requirement for admission to a research studies programme is an upper second class honours degree, a registrable qualification in Medicine, Dentistry or veterinary science, or postgraduate degree of a UK university or an overseas qualification of an equivalent standard. At its discretion, ~~the College~~QMUL may accept candidates with alternative qualifications or an appropriate level of research experience gained in the workplace or similar environment.

8.11 QMUL~~The College~~ may require a qualifying examination in English and/or evidence of an appropriate level of competence in written and spoken English.

8.12 In addition, for MD(Res) the minimum entry requirement also includes a requirement that the student must either

- i) have obtained an MB,BS degree of the University of London or some other registrable primary qualification in Medicine and be eligible for full registration or hold limited registration with the General Medical Council.

Or

- ii) have obtained a BDS degree of the University of London and/or be eligible for registration with the General Dental Council.

8.13 Exceptionally, a student may be permitted to enrol as an associate student and undertake a period of guided study and/or research, normally for a period of up to six months (and not exceeding twelve months) with specified conditions to be met for admission to the research studies programme. This period does not count towards the minimum registration period required for award. Where the conditions of admission to the research studies programme are not met, the student is normally required to terminate his/her studies at the end of the period of registration as an associate student.

Registration and Enrolment

General

8.14 A student is required to enrol with ~~the College~~QMUL at the start of his/her research degree programme and register for the research studies programme. The period of registration will date from the point of initial enrolment. Research degree students may, with the agreement of their School or Institute, enrol at any one of the defined entry points during the year.

- 8.15 Students are required to re-enrol each academic year for the duration of the programme of studies (including during the period of writing-up) regardless of the mode of attendance. Enrolment for research students takes place on a defined day in each month with an additional period in September. Re-enrolment takes place in September each year. Failure to re-enrol results in termination of registration.

Associate Students

- 8.16 An associate student enrolls with ~~the College~~ [QMUL](#) for a specified period to undertake a specified activity that does not lead to an award of ~~the College~~ [QMUL](#) or the University. This is normally for a maximum period of twelve months. Associate students are required to commence their study and enrol at one of the defined entry points within the year.

PhD and MPhil

- 8.17 A PhD student registers for a programme of research study leading to PhD from the outset. The registration period for which the student initially registers is four years or the approved duration for that programme of research studies, or part time equivalent.
- 8.18 An MPhil student registers only for MPhil.
- 8.19 The start date for the duration of the research studies programme is the date of initial enrolment with [QMUL](#) ~~the College~~ and registration for the research programme of studies.

MD(Res)

- 8.20 A student registers for a four year programme of research study leading to MD(Res) from the outset or part time equivalent.

DrPS and DClinDent

- 8.21 A student registers for a ~~four~~ three year programme of research study leading to DrPS or DClinDent from the outset or part time equivalent.

Transfer from another institution

- 8.22 A candidate registered for a research degree at another institution may transfer his or her registration at the discretion of Senate or its delegated authority and be exempted from part of the research studies programme at ~~QMUL the College~~. Where this occurs, the period of registration at ~~QMUL the College~~ must be at least 12 months full time or 24 months part time.
- 8.23 On transfer of registration, the registration for the original degree will lapse.

Mode of attendance

- 8.24 The following modes of attendance are available to students:
- Full time
 - Part time (50% of the workload of a full time student per year)

- 8.25 A student is expected to continue in the same mode of study for which he/she originally registered. Transfer between full time and part time study may be permitted by Senate or its delegated authority. In such cases, the minimum and maximum registration periods will be adjusted according to the length of registration spent in each mode.

Writing up status

- 8.26 A student may transfer to 'writing up' status with the approval of Senate or its delegated authority provided that he or she has completed the minimum registration period and not exceeded the maximum registration period. In order to transfer to writing up status, a student is required to have completed all experimental work or collection of material related to his/her thesis and, in the judgement of the principal supervisor, be in a position to submit the thesis within 12 months. A student registered for MPhil/PhD can only be transferred to writing up status if he/she has completed the transfer process from MPhil to PhD where transfer is a requirement of his/her research studies programme.
- 8.27 A student must enrol during the period of writing up and pay any fee applicable during this period.
- 8.28 The maximum period for 'writing up' is one calendar year regardless of the mode of attendance of the student, unless the terms of a studentship stipulate that a longer period of writing-up is permitted. A penalty charge may be applied if the writing up status is extended beyond one calendar year where it has not been extended for a specific cause.
- 8.29 In exceptional circumstances, Senate or its delegated authority may permit an extension of the writing up period for students who have writing up status. A student with writing up status may be permitted to extend their writing up period by up to twelve months on one occasion only or for a maximum period prescribed by the terms of their studentship. A penalty charge may be applied if the student has not submitted their thesis by the end of the period of extension. Extensions will not be granted retrospectively.
- 8.30 The period of extension counts as part of the overall period of registration.

Teaching studentships

- 8.31 A student who is undertaking a teaching studentship registers for a full time degree. The regulations as relevant to full time students apply in all cases.

Interruption

- 8.32 A student may be permitted to interrupt a research studies programme for a maximum period of two years in total throughout their period of registration or for a maximum period prescribed by the terms of any studentship, on the grounds of illness or other good cause with the permission of Senate or its delegated authority.
- 8.33 The period of interruption does not count towards the minimum or maximum registration period for the research studies programme, in accordance with the general regulations.
- 8.34 A student is not required to pay fees during the period of interruption.

Minimum and Maximum registration periods²

- 8.35 The registration period starts on the date of a student's initial enrolment and registration with ~~the College~~ [QMUL](#) for the research studies programme.
- 8.36 The registration period ends on the date of submission of the thesis or termination of registration.
- 8.37 ~~The College~~ [QMUL](#) terminates the registration of any student who exceeds the maximum registration period.

Minimum registration period

- 8.38 The minimum period of full time study for the awards of MPhil, PhD, MD(Res), ~~and DrPS and DClinDent~~ is two calendar years. The minimum period of full time study for the award of DClinDent is three calendar years.
- 8.39 The minimum period of part time study for the awards of MPhil, PhD, MD(Res), ~~and DrPS and DClinDent~~ is four calendar years. The minimum period of part time study for the award of DClinDent is six calendar years.
- 8.40 The minimum registration period for a student who has transferred from another institution/programme under regulation 8.21 above is as specified in the regulation.

Maximum registration period

- 8.41 The maximum registration period includes any period where the student is registered as writing up.
- 8.42 The maximum period of full time study for the awards of MPhil, PhD, MD(Res), DrPS and DClinDent is 4 calendar years (including any writing up period).
- 8.43 The maximum period of part time study for the awards of MPhil, PhD, MD(Res), DrPS and DClinDent is 7 calendar years (including any writing up period).

Exceptions to the maximum and minimum registration periods

- 8.44 Exceptionally, Senate or its delegated authority may permit a student to submit either before the minimum registration period, or after the maximum registration period, or to extend the writing up period.

Attendance

Attendance requirements

- 8.45 In addition to the general attendance requirements, ~~of the College~~ attendance refers to [QMUL](#) ~~the College~~'s expectations with regard to the way in which students engage with their research studies programme. The specific nature of attendance requirements varies depending on the nature of the research studies programme. General expectations are that a student meets regularly with his/her principal supervisor, and undertakes training and other specified activities that may also include the completion of taught modules.

² Previously known as 'period of study'

- 8.46 A full time student is not permitted to undertake other duties or work (apart from limited demonstrating or tutorial duties) without the approval of his/her principal supervisor(s) unless provided for in the terms of any studentship.

Vacations

- 8.47 A student is normally permitted to take up to six weeks vacation in a year. The timings of vacations are agreed by the student's principal supervisor.

Termination of Registration

- 8.48 Senate or its delegated authority may terminate the registration of a student who fails to meet the progression requirements for the research study programme or where his/her general attendance or submission of work and/or completion of required activities fails to meet the stated requirements.
- 8.49 Termination of registration may also take place as a result of non-attendance/participation in any aspect of the research studies programme in accordance with the general regulations on attendance (see 2.47-2.51).
- 8.50 Termination of registration means that enrolment is also terminated and the individual is no longer a student of ~~the College~~ QMUL in accordance with the general regulations (see 2.72-2.72)
- 8.51 A student for whom registration is terminated may appeal against this decision ~~using~~ under the ~~College~~ Appeal Regulations.

Studentships and scholarships

- 8.52 Studentships or scholarships may include additional, and/or specific requirements and conditions. These requirements and conditions apply in addition to these Regulations to those students in receipt of the studentship or scholarship.

Research Integrity Ethics

- 8.53 All students must familiarise themselves with the QMUL policy on research Ethics integrity and associated policies and procedures, including any requirements for formal ethical review of the research project, and ensure that their research conforms to it.

Title of thesis

MPhil and PhD

- 8.54 Upon registration, a student identifies the topic of his/her research and the research studies programme to be followed. Senate or its delegated authority approves the title of the thesis at the point of notifying entry for examination.

MD(Res)

- 8.55 Senate or its delegated authority approves the title of the thesis prior to registration for the research studies programme.

DrPS and DClinDent

- 8.56 Senate or its delegated authority approves the subject and title of the thesis and/or research portfolio after the equivalent of one year's full time study on the research studies programme.

Change of title

- 8.57 In all cases, Senate or its delegated authority approves any change to the title of the thesis in accordance with the required procedure.

Supervision

- 8.58 The College-QMUL Code of Practice for Postgraduate Research Programmes sets out the requirements for supervision.
- 8.59 Supervisors are appointed to the role by Senate or its delegated authority and meet the approved criteria, which may include relevant training requirements being met.

Progress Monitoring

- 8.60 Progress monitoring is a formal review process that takes place at least once per academic year in accordance with the requirements approved by Senate, or its delegated authority. Progress monitoring informs progression.

Progression

- 8.61 Progression is a formal process that permits a student to continue to the next stage/period of his/her research studies programme.
- 8.62 Senate or its delegated authority approves progression requirements for research studies programmes. The normal minimum progression points for a full time student on a PhD, MPhil or MD(Res) programme occur between 6 to 9 months after registration on the research studies programme, between 18 and 24 months after registration, and at 36 months where examination entry has not occurred. For a part time student on a PhD, MPhil or MD(Res) programme the normal progression points occur between 12 to 18 months after registration on the research studies programme, between 36 and 48 months after registration, and 72 months where examination entry has not occurred. Progression for students on DrPS and DClinDent programmes is assessed as outlined in the appropriate research studies programme regulations, approved by Senate or its delegated authority.
- 8.63 Progression decisions are made in accordance with procedures established by Senate or its delegated authority.
- 8.64 The 6 to 9 (Year 1) month progression point (12 to 18 months for part time students) is undertaken in accordance with the approved requirements for the PhD, MPhil or MD(Res) research studies programme and may include the submission of written work and an oral examination. Year 1 P progression decisions are made by the Director for Research following a panel's review of the student's progress. Any panel recommending a decision about a student's progression or registration on a research studies programme must comprise at least two people, at least one of whom should be independent of the student's supervisory team. The independent member has a

casting vote regarding the recommended outcome The possible outcomes of a first Year 1 progression panel are;

- Progress – the student may progress to the next stage of the research studies programme
- Referred – the student must undertake further specified work and be reconsidered for progression again within 3 months

8.65 At the end of the referral period, the progression panel must recommend one of the following outcomes:

- Progress – the student may progress to the next stage of the research studies programme
- Fail to progress – the student may transfer registration to MPhil or other appropriate programme
- Fail to progress – the student's registration is to be terminated

8.66 Progression decisions at 18-24 months and at 36 months are made in accordance with procedures outlined in the relevant research studies programme regulations, approved by Senate or its delegated authority.

8.67 Senate or its delegated authority terminates the registration of a student who fails to meet the progression requirements for his/her research studies programme. A student may appeal against the termination of registration using-under the College Appeal Regulations.

Transfer of Registration from MPhil to PhD (for students registered for a research studies programme before 1st September 2010)

8.68 A student registered before 1st September 2010 for a research studies programme leading to the award of MPhil/PhD may transfer his/her registration to PhD. The transfer process normally takes place between 12 to 24 months for a full time student and 24 to 48 months for a part time student.

8.69 The transfer process is undertaken in accordance with the approved requirements for the research studies programme which include the submission of written work and an oral examination. The oral examination is conducted by a panel of examiners that comprises at least two members. The examiners for transfer from MPhil to PhD may include the supervisor and must include at least one examiner, knowledgeable in the field, who is not connected with the student's research.

8.70 Where a student is successful and transfers his/her registration, the date of initial registration for the research studies programme continues to apply for the purpose of determining maximum and minimum registration periods.

8.71 Where a student is unsuccessful in the transfer examination and does not transfer, the examiners may recommend that he/she may remain registered as-on the MPhil programme and be examined for that award, or that the student should be permitted to submit for transfer on one further occasion. If a student is unsuccessful at the second attempt at transfer, the examiners may recommend that he/she may remain registered on the MPhil programme and be examined for that award, or may recommend that his/her registration should be terminated.

- 8.72 A student registered for a research studies programme leading to the award of MD(Res) may transfer his/her registration to PhD. The transfer process is the same as that for MPhil to PhD.
- 8.73 A student registered for a research studies programme leading to the award of MPhil after 1 September 2010 may transfer his/her registration to PhD. The transfer process is as outlined in [8.686-8.7169](#) above.
- 8.74 A student may appeal against the decision of the examiners for transfer ~~using~~under the ~~College~~ Appeal Regulations.

Examination Entry

- 8.75 Examination entry is the formal process by which a student notifies ~~the College~~QMUL of his/her intention to submit the thesis and be examined for the degree for which he/she is registered. Examination entry is also the process by which the title of the thesis is notified and approved. The procedure for ~~e~~Examination entry is approved by Senate or its delegated authority.
- 8.76 A student intending to enter for examination is required to complete the relevant forms for examination entry. The forms should be submitted to the designated ~~College~~ body at least three months before the proposed submission of the thesis. The submission of the thesis must take place up to twelve months after examination entry. After twelve months, if the thesis has not been submitted, a new entry form is required and a re-entry fee may be required.
- 8.77 For a student to be entered for examination, QMUL~~the College~~ must confirm that he/she has completed the research degree programme in accordance with the relevant regulations.
- 8.78 Examination entry cannot occur more than twelve months prior to completion of the minimum registration period.

Submission of thesis

- 8.79 A student is required to submit his/her thesis in a form that meets the requirements for a thesis. A student is required to submit two printed copies of his/her thesis in the approved format and a digital (PDF) file which is an exact electronic copy of the submitted thesis. A third copy of the thesis may be required where a third examiner is appointed.
- 8.80 The student is required to bring to the oral examination a copy of his/her thesis paginated in the same way as the copies submitted to QMUL~~the College~~.
- 8.81 In submitting a thesis for examination or re-examination a student accepts responsibility for its contents and quality. Students are required to conform to QMUL's policy on editorial assistance and to include in their thesis a statement of originality detailing any work undertaken in collaboration with others.

Requirements for a Thesis

- 8.82 The thesis must meet the specific requirements for a thesis ~~and requirements applicable to theses set out in the regulations of the University of London.~~ The ~~relevant extract is~~ provided in Appendix 1 of these regulations.

Requirements for DrPS and DClinDent

- 8.83 In addition to the thesis, the specialist doctorates of DrPS and DClinDent are examined through a broader range of methods than thesis and oral examination. The requirements for the awards of DrPS and DClinDent are those approved by Senate or its delegated authority.

Word limits

- 8.84 The thesis must not exceed the following word limits:

PhD – 100,000 words
MPhil – 60,000 words
MD(Res) – 50,000 words

For the degrees of DrPS and DClinDent the minimum length of the thesis shall be no less than 25,000 words.

[The bibliography is excluded from the word count; footnotes are included within the word count; appendices are excluded from the word count and should only include material which the examiners are not required to read in order to examine the thesis but to which they may refer if they wish.]

- 8.85 Senate or its delegated authority may approve lower word counts for specific research studies programmes.

Panel of Examiners

- 8.86 A Panel of Examiners is established for each individual examination of an MPhil, PhD, MD(Res), DrPS and DClinDent.

- 8.87 The Panel of Examiners normally comprises two examiners appointed by Senate or its delegated authority:

- One internal examiner who is normally a member of another College of the University of London.
- One external examiner who is external to the University of London.

- 8.88 Exceptionally, where the criteria for an internal examiner cannot be met a second external examiner may be appointed. Where, in exceptional circumstances, a second external examiner cannot be identified or appointed, a member of staff from QMUL may be appointed as the internal examiner.

- 8.89 In some cases, an independent chair may be appointed to the Panel of Examiners. In such cases, the responsibility of the Chair is to manage the process and ensure

adherence to regulations but not to contribute to the decision regarding whether or not the standards for award have been met.

- 8.90 The supervisor may be in attendance at the examination but must absent themselves when the decision regarding the outcome of the examination is to be made. If the candidate does not wish the supervisor to be present, he/she should make this clear at the time of examination entry.

Criteria for Examiners

- 8.91 Examiners for MPhil, PhD, MD(Res), DrPS and DClinDent normally fulfil the following criteria:

- [a] Examiners should be experts in the field of the thesis but not necessarily in all parts of the precise topic.
- [b] At least one examiner should have experience of examining for a research degree in the UK, and examiners should have examined at least five such-research degrees of the same or equivalent level between them. For the MD(Res), at least one examiner should have previous experience of examining for the MD(Res).
- [c] Nominated examiners must have had no direct involvement in the candidate's research or any close connections with either the candidate or supervisor which might inhibit a completely objective examination. They must not have taken an active role in considering the student's progression and/or transfer of status from MPhil to PhD.
- [d] An examiner should not normally be appointed more than once during a given year³ by members of the same School/Institute.
- [e] NHS Consultants or the equivalent in the NHS who are not QMUL College or University employees may be appointed as internal or external examiners but they should hold an Honorary Senior Lecturer or above contract with a College or University. Other professional experts may be appointed as external examiners, but the normal requirements for examining experience across the examination team will apply.
- [f] Individuals who were previously members of staff, students or other members of Queen Mary, University of London, or another College of the University of London, must not be appointed as an external examiner until a period of three years has elapsed.
- [g] Individuals who have retired from academic positions at Queen Mary, University of London or another higher education institution may be appointed as internal or external examiners (subject to the provisions in 8.87[f] above) if they remain active in their field of research.
- [h] Overseas examiners are appointed as external examiners only in exceptional circumstances and where it is considered that such an appointment is necessary.

Conduct of Examinations

³ A year is interpreted as an 'academic year'.

- 8.92 The examination for MPhil, PhD and, MD(Res), ~~DrPS and DClinDent~~ is by submission of thesis and oral examination of the thesis. The examination for DrPS and DClinDent is by submission of thesis and/or research portfolio At their discretion, the examiners may also examine the candidate by practical or written examination.
- 8.93 The examination process is held in private, and is not a public examination. Normally, the oral examination is held in London.
- 8.94 All matters related to the examination are confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in the student's thesis until such time as the thesis is made available or any restrictions on access to the thesis are removed.
- 8.95 The examination is conducted in English (unless the Senate or its delegated authority has given permission for it to be conducted in another language). The candidate must attend the examination at the place and time specified by QMUL ~~the College~~ and must bring with him/her an additional copy of the thesis that is paginated in the same way as that submitted for examination.
- 8.96 Each examiner prepares an independent report on the thesis in advance of the oral examination. The examiners exchange reports before the oral examination.
- 8.97 The examiners have the right to reject a thesis which they consider to be incomplete or unacceptable without conducting an examination. This does not prevent the candidate from submitting the thesis for examination on a subsequent occasion.
- 8.98 The examiners have a right to make comments in confidence to the Principal of ~~the College~~ QMUL in a separate report.
- 8.99 The examiners submit to the Academic Registrar's nominee copies of their preliminary reports and a joint final report that details their judgement of the candidate's performance and reasons for the decision they have reached. These reports will be available to the candidate for his/her personal information.
- 8.100 Where the supervisor is in attendance at the oral examination he/she must not participate in the examination but may make comments if asked to do so by the examiners. The examiners may, at their discretion, consult the supervisor before completing their report, particularly if they have doubts relating to the appropriate decision to be made.
- 8.101 If a candidate becomes unwell in advance of an oral examination, he/she should notify the supervisor who will make reasonable efforts to change the date of the examination. In attending an oral examination, candidates declare themselves 'fit to sit'. Any subsequent claim for extenuating circumstances shall not normally be considered.

Decisions of the Panel of Examiners

Outcomes for PhD, MPhil and, MD(Res), ~~DrPS and DClinDent~~

- 8.102 Except as provided in paragraphs ~~86.9793~~ the examiners, after reading the thesis, examine the student orally and at their discretion by written papers or practical examination or by both methods on the subject of the thesis and, if they see fit, on relevant subjects .

8.103 The options open to examiners in determining the result of an examination are as follows:

- (a) if the thesis fulfils the criteria (set out in Appendix 1) and the candidate satisfies the examiners in all other parts of the examination, the examiners will report that the candidate has satisfied them in the examination for the degree.
- (b) if the thesis otherwise fulfils the criteria but requires minor amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within three months amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.
- (c) if the thesis otherwise fulfils the criteria but requires major amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within six months or within nine months (as specified by the examiners) amendments specified by them. The amended thesis shall be submitted to both the examiners for confirmation that the amendments are satisfactory.
- (d) if the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 18 months for the PhD, MD(Res), DrPS and DClinDent degrees, or within 12 months for the MPhil degree. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. The examiners may at their discretion exempt the candidate from a further oral examination following the re-presentation of the thesis. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (e) if the thesis satisfies the criteria but the candidate fails to satisfy the examiners at the practical or written examination held in conjunction, the examiners may determine that the candidate be exempted on re-entry from presentation of the thesis and be permitted to submit to a further practical or written examination within a period specified by them and not exceeding 18 months. The examiners may at their discretion exempt the candidate from taking a further oral examination. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (f) if the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 18 months for the PhD, MD(Res), DrPS or DClinDent degree or 12 months for the MPhil degree. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (g) the examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination (in the case of a second examination, examiners' discretion about whether to hold a second oral examination still applies), nor, for the PhD degree, before considering whether the candidate does or might be able to satisfy the requirements for the award of the MPhil degree. If they so decide, the examiners shall

submit a report which demonstrates either (a) how the criteria for the MPhil degree are satisfied, or (b) what action would need to be taken in order for these criteria to be satisfied.

If the examiners recommend that the criteria for the MPhil degree are or may be satisfied, the candidate will be informed that he/she has been unsuccessful in the examination for the PhD degree, but that his/her examiners have indicated that he/she has either reached the standard or subject to minor amendments will reach the standard required for the award of the MPhil degree. The candidate will be given two months to indicate whether he/she wishes to be so considered (to run concurrently with any period for minor corrections as required).

If he/she does not wish to be considered for the MPhil degree, or does not confirm that he/she wishes to be so considered within the specified period, then he/she will be informed that they have failed to satisfy the examiners for the PhD degree and that he/she may no longer be considered for the award of the MPhil degree.

If he/she wishes to be considered for the award of MPhil under this regulation, the candidate will not be required to re-submit the thesis or undergo an oral examination but will be required to fulfil the requirements for the MPhil examination in all other respects. Any minor amendments required shall be made within three months of the date of notification of the examination outcome and the amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.

In a case where the thesis, though inadequate, shall seem of sufficient merit to justify such an action, the examiners may determine that the candidate be permitted to enter the examination for the MPhil degree and re-present his/her thesis in a revised form within 12 months. The examiners may at their discretion exempt the candidate from a further oral examination on re-presentation of his/her thesis. This outcome may not be recommended for candidates undertaking a second (re-) examination.

Outcomes for DrPS and DClinDent

8.104 Except as provided in paragraphs 8.973 the examiners, after reading the thesis and/or research portfolio, examine the student orally and at their discretion by written papers or practical examination or by both methods on the subject of the thesis and, if they see fit, on relevant subjects.

8.105 The options open to examiners in determining the result of an examination are as follows:

(a) if the thesis fulfils the criteria (set out in Appendix 1) and the candidate satisfies the examiners in all other parts of the examination, the examiners will report that the candidate has satisfied them in the examination for the degree.

(b) if the thesis otherwise fulfils the criteria but requires minor amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within three months amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.

(c) if the thesis otherwise fulfils the criteria but requires major amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within six months or within nine months (as

specified by the examiners) amendments specified by them. The amended thesis shall be submitted to both the examiners for confirmation that the amendments are satisfactory.

- (d) if the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 12 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. The examiners may at their discretion exempt the candidate from a further oral examination following the re-presentation of the thesis. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (e) if the thesis satisfies the criteria but the candidate fails to satisfy the examiners at the practical or written examination held in conjunction, the examiners may determine that the candidate be exempted on re-entry from presentation of the thesis and be permitted to submit to a further practical or written examination within a period specified by them and not exceeding 12 months. The examiners may at their discretion exempt the candidate from taking a further oral examination. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (f) if the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months. This outcome may not be recommended for candidates undertaking a second (re-) examination.
- (g) the examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination (in the case of a second examination, examiners' discretion about whether to hold a second oral examination still applies). Where the examiners recommend this decision, they shall also consider whether a candidate may meet the requirements for a relevant Level 7 (masters) programme and, if appropriate, recommend that they be considered for the award of that degree by the relevant Subject Examination Board.

8.106 If the examiners are unable to reach agreement, their reports shall be referred to the Dean for Research, who shall determine the action to be taken. In the event that the Dean for Research was involved in the student's supervision, the case is determined by either a deputy or by another Dean for Research.

8.107 In submitting a revised thesis incorporating amendments after an examination, a student accepts responsibility for the contents and quality of the revised version. A student who fails to complete the required amendments to the examiners' satisfaction and/or within the required timeframe shall be deemed to have failed to satisfy the examiners and not to have passed the examination. In such cases, examiners have the discretion to recommend the award of MPhil in the case of candidates who had been examined for a PhD.

- 8.108 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. ~~A candidate may however apply to a College to register for another course of study leading to the submission of a thesis on a different topic.~~

Re-examination

- 8.109 Where the examiners have decided that the criteria for award are satisfied in part, in some or all of the elements for examination [thesis, oral, practical etc] but the criteria for award are not met, the student may be re-examined. This applies to all research studies programmes and awards. ~~The CollegeQMUL~~ may charge a fee for re-entry. When the re-examination takes place, the regulations and procedures in force at the time of re-entry apply. The same examiners will normally undertake the re-examination. The outcomes of re-examination are those that are specified for the award in question.
- 8.110 On re-examination, only options (a), (b), (c) and (g) ~~-are~~ available to the examiners.
- ~~The CollegeQMUL~~ charges a fee for re-examination.
- 8.111 A student who does not re-enter within the prescribed time frame will be deemed not to have satisfied the examiners in the examination, and will have his/her registration terminated.
- 8.112 Where the student has failed to satisfy the examiners (ie failed), there is no right of re-examination.

Award of the degree

- 8.113 Senate or its delegated authority awards the degree. For University of London awards, Senate or its delegated authority awards the degree under delegated authority from the University of London.
- 8.114 The award of the degree does not occur until the student has submitted a digital copy of the final thesis.
- 8.115 Senate or its delegated authority may award a research degree posthumously in accordance with the approved policy.

Availability of Theses

- 8.116 It is a requirement for the award of the degree that one digital copy of a successful thesis be stored in the electronic repository of the ~~College-QMUL~~ Library. Students are required to sign a declaration relating to the availability of the thesis (the detailed declaration is given in Appendix 2).
- 8.117 A candidate may apply to ~~the CollegeQMUL~~ for restriction of access, for a period not normally exceeding two years, to his/her thesis and/or the abstract of the thesis on the grounds of commercial exploitation or patenting or other specified exceptional circumstances and in accordance with the procedure adopted by ~~QMULthe College~~ for consideration of such applications. Restricted access may also be agreed by ~~the College-QMUL~~ with the candidate's sponsoring organisation. This period may be

extended beyond two years in exceptional circumstances and with the approval of Senate or its delegated authority.

Examination Offences and Academic Misconduct

- 8.118 Examination offences, including plagiarism, are dealt with in accordance with the procedure specified in the Regulations on Assessment Offences that are provided in the Academic Regulations.
- 8.119 Academic misconduct during the course of a research studies programme is also dealt with using the Regulations on Assessment Offences.
- 8.120 All assessment that is submitted for progress review, transfer, or examination is subject to the Assessment Offences Regulations. Work that is submitted for review by the supervisor during the course of the research preparation is not considered to be a formal submission of assessment and is not subject to the Assessment Offences Regulations.
- 8.121 A research student who is found to have committed an assessment offence may also incur the following penalties:
- change of registration from PhD to MPhil
 - Termination of studies
- 8.122 Where plagiarism or fraud is established after an award has been made, the award may be revoked.
- 8.123 Research students ~~may are also be~~ subject to the College-QMUL policy on Research Integrity and regulations—the procedure for dealing with allegations of research misconduct.

Appeals

- 8.124 A student may appeal against a progression decision or a decision of a panel of examiners using the ~~College~~-Appeal Regulations.

Collaborative Arrangements

- 8.125 Collaborative arrangements for the supervision and award of research degree programmes are approved in accordance with the policy and procedures established by Senate, or its delegated authority, for that purpose. Such arrangements may lead to the award of a single QMUL degree, two degrees from both QMUL and the partner institution(s) or a single degree awarded jointly by QMUL and the partner institution(s).
- 8.126 In all cases, where a research studies programme leads to a dual or double award, the award of one institution cannot be made where the requirements for the award of the other awarding institution(s) are not met.

Revocation of Award

- | 8.127 QMUL may revoke an award made under these regulations, in accordance with the relevant procedures of QM or the University. Such cases shall be considered on a case-by-case basis by Senate, or its delegated authority.

Additional award requirements for European Doctorate

- 8.128 A PhD may be designated 'European Doctorate' where the approved research studies programme permits. As a minimum, a European Doctorate is required to fulfil the criteria approved by Senate or its delegated authority.

Requirements for degrees – MPhil, PhD, MD(Res), DrPS and DCLinDent

Requirements for degrees**Master of Philosophy**

1. The minimum period of study shall be two calendar years' full-time study or the part-time equivalent.
2. Assessment for the award shall in all cases be by submission of a thesis and an oral examination, which shall be conducted in English. The scope of the thesis shall be what might reasonably be expected after two or at most three years of full-time study, and the length shall not, other than in the most exceptional circumstances, exceed 60,000 words.
3. The thesis shall:
 - [a] consist of the candidate's own account of his/her investigations;
[The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow research workers must be clearly stated by the candidate and certified by the supervisor.]
 - [b] be either a record of original work or an ordered and critical exposition of existing knowledge and shall provide evidence that the field has been surveyed thoroughly
 - [c] be an integrated whole and present a coherent argument;
[A series of papers, whether published or otherwise, is not acceptable for submission as a thesis.
Research work already published, or submitted for publication, at the time of submission of the thesis, either by the candidate alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of the thesis, but may be adapted to form an integral part of the thesis and thereby make a relevant contribution to the main theme of the thesis. Publications derived from the work in the thesis may be bound as supplementary material at the back of the thesis.]
 - [d] give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and
 - [e] be written in English and the literary presentation shall be satisfactory, although ~~the College/School of Advanced Study at which the candidate is or will be registered~~ QMUL may permit on an exceptional basis only a thesis in the field of modern foreign languages and literatures only to be written in the language of study; in such cases the thesis shall include additionally a submission of between 10,000 and 20,000 words which shall be written in English and shall summarise the main arguments of the thesis.

In certain specified fields other forms of material may be required to be submitted for assessment in addition to the thesis:

Drama, Theatre and Performance Studies

In the field of Drama, Theatre and Performance Studies, a candidate may undertake research leading either to the submission of a written thesis or a combination of a

written thesis and practice (the balance between the written and practical components is determined by the needs of the project). In both cases the submission is examined in relation to the criteria for the degree outlined above. Students who submit a combination of a written thesis and practice do so on the understanding that the material is submitted concurrently and examined as an integrated whole. Practice must be submitted using a form of retainable documentation agreed in consultation with the supervisor and Director of Graduate Studies, and approved by the Dean for Research, or nominee. Requests for the thesis to be submitted in A3 format and/or printed on both sides of the page may be approved by the Dean for Research, or nominee, where there is a demonstrable need.

Doctor of Philosophy

4. The minimum period of study shall be two calendar years' full-time study or the part-time equivalent.
5. Assessment for the award shall in all cases be by submission of a thesis and an oral examination, which shall be conducted in English. The scope of the thesis shall be what might reasonably be expected after three or at most four years of full-time study, and the length shall not, other than in the most exceptional circumstances, exceed 100,000 words.
6. The thesis shall:
 - a. consist of the candidate's own account of his/her investigations, the greater proportion of which shall have been undertaken during the period of registration under supervision for the degree;
[The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow research workers must be clearly stated by the candidate and certified by the supervisor.]
 - b. form a distinct contribution to the knowledge of the subject and afford evidence of originality by the discovery of new facts and/or by the exercise of independent critical power;
 - c. be an integrated whole and present a coherent argument
[A series of papers, whether published or otherwise, is not acceptable for submission as a thesis.
Research work already published, or submitted for publication, at the time of submission of the thesis, either by the candidate alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of the thesis, but may be adapted to form an integral part of the thesis and thereby make a relevant contribution to the main theme of the thesis. Publications derived from the work in the thesis may be bound as supplementary material at the back of the thesis.]
 - d. give a critical assessment of the relevant literature, describe the method of research and its findings, include discussion on those findings and indicate in what respects they appear to the candidate to advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study, (the candidate being able to place the thesis in a wider context), objectivity and the capacity for judgement in complex situations and autonomous work in that field;
 - e. be written in English and the literary presentation shall be satisfactory, although ~~the College/School of Advanced Study at which the candidate is or will be~~

~~registered~~QMUL may permit on an exceptional basis only a thesis in the field of modern foreign languages and literatures only to be written in the language of study; in such cases the thesis shall include additionally a submission of between 10,000 and 20,000 words which shall be written in English and shall summarise the main arguments of the thesis;

- f. demonstrate research skills relevant to the thesis being presented and be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).
- g. In certain specified fields other forms of material may be required to be submitted in addition to the thesis:

Drama, Theatre and Performance Studies

In the field of Drama, Theatre and Performance Studies, a candidate may undertake research leading either to the submission of a written thesis or a combination of a written thesis and practice (the balance between the written and practical components is determined by the needs of the project). In both cases the submission is examined in relation to the criteria for the degree outlined above. Students who submit a combination of a written thesis and practice do so on the understanding that the material is submitted concurrently and examined as an integrated whole. Practice must be submitted using a form of retainable documentation agreed in consultation with the supervisor and Director of Graduate Studies, and approved by the Dean for Research, or nominee. Requests for the thesis to be submitted in A3 format and/or printed on both sides of the page may be approved by the Dean for Research, or nominee, where there is a demonstrable need.

Specialist Doctorates (DrPS and DClintDent)

7. A programme of study and examination for the degree of *Doctor in -----* shall satisfy the following requirements:
 - a. the aims and objectives of the programme shall be such that it will provide an education at an intellectual level equivalent to that required for the PhD;
 - b. the programme of study shall extend over a period of at least three years' fulltime study or the part time equivalent, ~~except for the degree of DClintDent where the programme regulations may specify a minimum period of study of two years or the part-time equivalent;~~
 - c. the programme shall include a substantial research component which is of a nature appropriate to the discipline concerned on which the final examination contributing to the award of the degree will be based (see also 7d. and 7g. below);
 - d. the results of the research shall be presented in the form of a thesis and/or research portfolio which makes a distinct contribution to the knowledge of the subject or its professional practice and affords evidence of originality shown by the discovery of new facts, ~~and/or~~ the exercise of independent critical power, and/or innovation in practice. The minimum length of the thesis and/or portfolio shall be not less than 25,000 words and be appropriate to the subject concerned, having regard to the other formally assessed elements for the degree;

- e. the programme shall, in addition to the thesis and/or research portfolio, include elements of a practical/work-related/professional nature and formally taught elements appropriate to support its academic objectives;
- f. the elements listed at 7e. shall be assessed by methods and at an intellectual level and at a time appropriate to the programme, and approved by Senate or its delegated authority. Such assessment shall normally involve at least one examiner external to the University;
- g. the final examination contributing to the award of the degree shall be designed (i) to test the thesis against the stated requirements (see 7d. above) **and** (ii) to test the candidate's conceptual understanding of the integration of all elements of the course and their related assessment;
- h. the final examination shall include an oral examination of each candidate conducted by at least two examiners, one of whom shall be external to the University in accordance with the normal requirements for examiners for research degree programmes.

Doctor of Medicine (Research) (MD(Res))

- 8. The minimum period of study shall be two calendar years' full-time study or the part-time equivalent.
- 9. The emphasis of the programme of study will be on the development in the individual student of:
 - a. the ability to recognise and validate problems;
 - b. original, independent and critical thinking and the ability to develop theoretical concepts;
 - c. a knowledge of recent advances within the field in related areas;
 - d. an understanding of research methodologies and techniques and their appropriate application within the research field;
 - e. the ability to analyse critically and evaluate the research findings and those of others; and
 - f. an ability to summarise, document, report and reflect on progress.
 - g. Assessment for the award shall in all cases be by submission of a thesis and an oral examination, which shall be conducted in English. The scope of the thesis shall be what might reasonably be expected after three or at most four years of full-time study, and the length shall not, other than in the most exceptional circumstances, exceed 50,000 words.
- 10. The thesis shall:
 - a. consist of the candidate's own account of his/her investigations, the greater proportion of which shall have been undertaken during the period of registration under supervision for the degree;
[The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow research workers must be clearly stated by the candidate and certified by the supervisor.]

- b. form a distinct contribution to the knowledge of the subject and afford evidence of originality by the discovery of new facts and/or by the exercise of independent critical power;
- c. be an integrated whole and present a coherent argument;
[A series of papers, whether published or otherwise, is not acceptable for submission as a thesis.
Research work already published, or submitted for publication, at the time of submission of the thesis, either by the candidate alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of the thesis, but may be adapted to form an integral part of the thesis and thereby make a relevant contribution to the main theme of the thesis. Publications derived from the work in the thesis may be bound as supplementary material at the back of the thesis.]
- d. give a critical assessment of the relevant literature, describe the method of research and its findings, include discussion on those findings and indicate in what respects they appear to the candidate to advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study, (the candidate being able to place the thesis in a wider context), objectivity and the capacity for judgement in complex situations and autonomous work in that field;
- e. be written in English and the literary presentation shall be satisfactory; demonstrate research skills relevant to the thesis being presented;
- f. be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

Declaration on the availability of the thesis

Subject to paragraph 8.110 above, candidates for the degrees of MPhil, PhD, MD(Res), DrPS and DClinDent will at the time of entry to the examination be required to sign a declaration in the following terms:

Declaration

1. I authorise that the thesis I present for examination for the MPhil/PhD degree shall, if a degree is awarded, be deposited in the electronic institutional repository of the library of Queen Mary, University of London and that, subject to the conditions set out below, it may be made available for public reference, inter-library loan and copying.
2. I authorise ~~QMUL the College~~ or University authorities as appropriate to supply a copy of the abstract of my thesis for inclusion in any published list of theses offered for higher degrees in British universities or in any supplement thereto, or for consultation in any central file of abstracts of such theses.
3. I understand that before my thesis is made available for public reference, inter-library loan and copying, the following statement will have been included at the beginning of my thesis or clearly associated with any electronic version: The copyright of this thesis rests with the author and no quotation from it or information derived from it may be published without the prior written consent of the author.
4. I warrant that this authorisation does not, to the best of my belief, infringe the rights of any third party.
5. I understand that if my thesis is not approved by the examiners, this declaration will become void.

Delegation Framework from Senate

In this delegation framework, authority is most commonly delegated to the School Director of Graduate Studies (DGS) or the Faculty Deputy Dean (PGR) or equivalent. This reflects the typical practice of decision-making within Schools and Faculties. However, the Director of Research (at School level) and the Dean for Research (at Faculty level) formally oversee PGR activity and retain responsibility for the authority exercised by the DGS or Deputy Dean (PGR) or equivalent.

[Note. The regulation reference numbers will be checked after Senate.]

Regulation	Delegated to	Process
8.21 Transfer of registration from another institution.	Director of Graduate Studies	Through the admissions process in accordance with the time-limits permitted in regulation 8.21.
8.24 Transfer between full time and part time study	At School/Institute level by the Director of Graduate Studies, on the advice of the principal supervisor	Following a request made by the student that is supported by the principal supervisor, and taking account of any limitations resulting from any studentship, as applicable.
8.25 Transfer to 'writing up' status 8.28 extension of the 'writing up' period	Deputy Dean (PGR) on the advice of the Director of Graduate Studies. The principal supervisor confirms that the student is expected to complete within one year.	By sign off of the request using the appropriate form.
8.31 Interruption of a research studies programme for up to two years, or a maximum period prescribed by the terms of any studentship.	Deputy Dean (PGR) on the advice of the Director of Graduate Studies and principal supervisor <u>Research Degrees Programmes and Examinations Board</u>	Sign off of the request using the appropriate form and its submission to the Research Degrees Office.
Interruption for a longer period than 2 years.	Secretary to Council and Academic Registrar	Submission of written request co-ordinated through the Research Degrees Office
8.43 Permission to submit either before the minimum registration period, or after the maximum registration period, or to extend the writing up period.	Deputy Dean (PGR) on the advice of the Director of Graduate Studies and principal supervisor <u>Research Degrees Programmes and Examinations Board</u>	Sign off of the request using the appropriate form and its submission to the Research Degrees Office.
8.47 Senate or its delegated authority may terminate the registration of a student who fails to meet the progression requirements for the research study programme or where his/her general attendance or submission of work and/or completion of required	Director of Graduate Studies on the recommendation of the progression panel or on the recommendation of the principal supervisor following progress monitoring.	Progress monitoring or formal progression processes.

activities fails to meet the stated requirements.		
8.53, 8.54 & 8.55 Approval of the title of the thesis at the point notifying entry for examination.	Director of Graduate Studies	Examination Entry Process
8.56 Approval of any change to the title of the thesis.	Director of Graduate Studies	Written notification to the Research Degrees Office
8.58 Appointment of supervisors and ensuring that supervisors have the appropriate training.	Head of School/Director of Institute	In accordance with the requirements of the Code of Practice
8.59 Progress monitoring once per academic year.	Director of Graduate Studies	In accordance with the established requirements for progress monitoring which informs progression.
8.61 and 8.62 Approval of progression requirements and procedures for research studies programmes	Research Degrees Programmes and Examinations Board Progression panel members approved by the Director of Graduate Studies for each student	Consideration of details of the progression requirements that are set out in writing. On the recommendation of the principal supervisor
8.65 Termination of the registration of a student who fails to meet the progression requirements for his/her research studies programme.	Director of Graduate Studies on the recommendation of the progression panel	Following the outcome of the progression process
8.73 Approval of the procedure for examination entry	Research Degrees Programmes and Examinations Board	Co-ordinated through the Research Degrees Office
8.79 Approval of requirements for the awards of DrPS and DClinDent	Research Degrees Programmes and Examinations Board	Consideration of details of the requirements that are set out in writing.
8.81 Approval of lower word counts for specific research studies programmes	Research Degrees Programmes and Examinations Board	Consideration of details of the specific programme requirements that are set out in writing.
8.83 Approval of examiners	Research Degrees Programmes and Examinations Board	Following nomination through the examination entry process.
8.91 Approval to conduct an examination in a language other than English	Research Degrees Programmes and Examinations Board	By individual application to the Board setting out the reasons for the request.
8.106 Award of research degree	Research Degrees Programmes and Examinations Board	On review of the panel of examiners' reports and confirmation of their recommendation for award (co-ordinated through the Research Degrees Office).

8.106 Posthumous award of research degree	Research Degrees Programmes and Examinations Board	In accordance with the approved policy and procedure.
8.110 Availability of the thesis – extension of the two year restricted access period.	Research Degrees Programmes and Examinations Board Deputy Dean (PGR)	By individual application to the Board setting out the reasons for the request and why the circumstances are exceptional.
8.118 Approval of collaborative arrangements	Doctoral College Management Group QMSE and Research Degrees Programmes and Examinations Board	Following the procedures for collaborative provision agreed by Senate



Code of Practice for Research Degree Programmes

September 20144

Code of Practice for Research Degree Programmes

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Code of Practice for Research Degree Programmes

Introduction and scope

1. This Code of Practice provides a framework of procedures and practices to support research students and their supervisors. It outlines the commitment made between Queen Mary and research students for the provision of programmes leading to the research degrees of MPhil, PhD, MD (Res), DrPS and DClinDent. Application of the key principles of the Code of Practice is mandatory.
2. The Code should be read in conjunction with the Academic Regulations for Research Degrees, available at http://www.arcs.qmul.ac.uk/policy_zone/index.html and with related procedures approved by Senate or its delegated authority. In any issues of interpretation of the Code, the Regulations always take precedence.
3. The Code follows the recommendations of the Higher Education Funding Council for England (HEFCE), the Quality Assurance Agency (QAA) and Research Councils UK (RCUK). It incorporates the precepts outlined in the QAA UK Quality Code for Higher Education, chapter B11: Research degrees (<http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/Quality-Code-Chapter-B11.pdf>).

Framework for governance and quality assurance of research degrees

4. The Vice-Principal for Research is responsible for providing leadership to the management of post-graduate research programmes. The Vice-Principal acts as Chair of the Queen Mary Doctoral College through which activities related to postgraduate research programmes are co-ordinated.
5. The three Deans for Research (Humanities and Social Sciences, Science and Engineering and Medicine and Dentistry) have particular responsibility for monitoring student progression, and co-ordinating research, supervisor and skills training. Any Dean for Research may nominate a named individual to whom they delegate their authority for decisions in these areas, typically a faculty lead for postgraduate research studies (Deputy Dean for Research (PGR))¹. In such situations, the delegation cannot be transferred further to another individual. One of the Deputy Deans acts as Director of the Doctoral College on a two-year rotating basis.
6. Senate is responsible for the academic standards of awards and the approval of Regulations for research degree programmes. The Research Degrees Programmes and Examinations Board has delegated authority from Senate to approve the appointment of examiners and the award of degrees following the completion of the procedures for these processes.

¹ Throughout this Code, where reference is made to the Dean for Research, this may also apply to the Deputy Dean for Research (PGR) or equivalent nominated delegate.

7. At School/Institute level, the Head of School/Director of Institute is responsible for the quality of the student experience. Each School/Institute has a designated individual who takes responsibility for research and PGR matters, typically a Director of Research. The Director of Research may nominate a named individual to whom they delegate their authority for decisions, typically a School/Institute Director of Graduate Studies². In such situations, the delegation cannot be transferred further to another individual. In this Code of Practice reference to the Director of Research implies reference to their delegate where appointed.
8. Policy matters and day-to-day issues, including management of the examination process, are handled by the Research Degrees Office in conjunction with the Deputy Deans and Deans for Research, and the Vice-Principal for Research. Policy documents, guidelines and other information can be found at www.arcs.qmul.ac.uk/research_degrees.
9. Research studies programmes that involve collaboration with other institutions or organisations are governed by any additional requirements for collaborative provision.

Research Environment

10. Students will only be accepted onto research studies programmes in Schools/Institutes that provide a sufficiently supportive and active research environment. Schools/Institutes wishing to accept research students must satisfy the following criteria:
 - [a] At least five research-active staff (academic staff, Principal Investigators or post-doctoral researchers)
 - [b] A critical mass of research students
 - [c] A target of a 4-year thesis submission rate of 85%.
11. New research studies programmes should be initiated and developed within Schools/Institutes that fulfill the above criteria.
12. The Deans for Research are responsible for identifying any Schools/Institutes within their faculty that do not conform to these requirements and working with the Head of School/Director of Institute to develop the appropriate environment.

Selection and admission of students

13. The Academic Regulations for Research Degrees specify the broad admissions requirements for research degrees, including the required level of competency in English. Regulations for an individual research studies programme may detail specific admissions requirements for that programme.
14. Admissions procedures for research studies programmes are also governed by Queen Mary's general Admissions policies.
15. Schools/Institutes are responsible for selecting students for admission to research studies programmes, with reference to the requirements outlined in the Regulations. Decisions to offer places to students will be made by at least two research-active

² Throughout this Code, where reference is made to the Director of Research, this may also apply to a nominated delegate.

academic staff, with appropriate expertise and experience, who will normally conduct either a face-to-face or remote interview and obtain at least one academic reference. It is recommended that academic staff who interview frequently undertake the QM fair selection training course.

16. The Head of School/Director of Institute will, through the Director of Research, ensure before recommending an offer that the topic identified is appropriate for a research degree, that the necessary research facilities and research training can be provided, and that proper supervision (see 25-32 below) can be guaranteed as far as possible for the expected duration of the programme.

17. Formal offers of admission can only be made by Queen Mary's central Admissions Office. Offers letters will include the following information:

- [a] the programme, mode and expected duration of study;
- [b] the total annual fees (including bench fees if appropriate);
- [c] details of funding arrangements;
- [d] arrangements for registration and enrolment;
- [e] name of principal supervisor;
- [f] information required for Academic Technology Approval Scheme (ATAS) clearance where necessary;

and will refer the student to other information relevant to their research studies and their responsibilities, including this Code of Practice and School handbooks. Offer letters will also clarify that the terms of the letter are binding on Queen Mary and the student upon acceptance.

18. Correspondence between Queen Mary, the Dean for Research and/or School/Institute and the applicant between offer letter and enrolment will be properly recorded.

Enrolment and Induction

19. Students must register and enrol in accordance with the [QMUL College's](#) requirements and those specified in the Academic Regulations. Research students will be directed to [review](#) the Academic Regulations for Research Degrees and this Code of Practice [at the point of enrolment](#).

20. Responsibility for student induction is shared between the School/Institute and the Deans for Research with input from the faculties and Research Degrees Office. The balance of their roles in the induction process may vary between faculties but will include:

- [a] Introduction to the structure and research portfolio of the School/Institute and wider faculty;
- [b] Introduction to research and professional/technical support services in the School/Institute;
- [c] Introduction to the structure of the research studies programme and arrangements for the monitoring of progression;
- [d] Introduction to the support available from the Research Degrees Office;
- [e] Details about opportunities and requirements for research and transferable skills development;
- [f] Expectations on attendance, hours of work and holiday arrangements;
- [g] Arrangements in the event of inadequate progress;
- [h] Who to contact in the event of a problem or complaint;

- [i] Health and safety procedures;
- [j] Advice on personal safety and security;
- [k] Introduction to Queen Mary's policies and procedures on research [integrity](#) and ethics;
- [l] Introduction to the Queen Mary Doctoral College and its activities and provision of support;
- [m] Introduction to Queen Mary's policies and procedures on plagiarism and research misconduct; and
- [n] Advice on Queen Mary services including central library and computing services, and support services such as Advice and Counselling, the Disability and Dyslexia Service, and the Careers Service.

21. It is expected that Schools and Institutes will also provide appropriate and complementary induction activities for research degree students.
22. Information related to Induction may be included in a School handbook for research students. It is the School/Institute's responsibility to ensure that these are reviewed each year to ensure they reflect any changes in regulations or policies relating to research degrees.
23. Students will have an initial meeting with their principal supervisor as soon as possible following the beginning of their programme. This meeting will cover:
- [a] the nature of the supervisory relationship and composition of the supervisory team, including responsibilities and expectations (see 25 -32 below);
 - [b] discussion of the research topic proposed, initial routes of enquiry and objectives;
 - [c] identification of initial training needs and formulation of a training plan; and
 - [d] how the student's progress will be assessed.

Attendance

24. All full-time students are expected to undertake a full working week on their research degree programme.
25. All part-time students should reach an agreement with their supervisors at the start of their registration as to the proportion of time they will spend on their research degree programme. The Academic Regulations for Research Degrees state that the workload of a part-time student is deemed to be 50% of that of a full-time student. Any arrangement agreed should not compromise submission time within the prescribed period. Transfer between full-time and part-time status is approved by the Director of Research.
26. All students should agree their holiday periods, normally up to a maximum of six weeks per year, with their supervisor. Excessive absences must be reported to the Head of School/Institute and the Dean for Research, if appropriate, via normal progress report procedures.

Supervision

27. The School/Institute's Director of Research is responsible for establishing supervision arrangements for each student that conform to this Code, and may be required to report on these arrangements to the Dean for Research.

28. Each research student will have an identified principal supervisor, who is their main point of contact with the School/Institute and Queen Mary and must be a research-active member of academic staff at [QMULthe College](#). All students will have at least one additional/secondary supervisor or advisor.
29. Each supervisory team must include at least two research-active academic staff, one of whom may be employed at another higher education institution and act as an external supervisor. Additional members of the supervisory team can include members of post-doctoral research staff, industrial partners or other external collaborators. The division of roles and responsibilities between members of the supervisory team will be clearly set out at the start of the research programme (see 22 above).
30. All new supervisors must undertake the training for this role provided by the Centre for Academic and Professional Development at Queen Mary. All supervisors should undertake 'refresher' training – which may be provided at faculty or School/Institute level – every five years.
31. If the principal supervisor identified for a student has not previously been part of a successful supervisory team (supervising a student to completion) then the other academic supervisor must act as a co-supervisor and jointly undertake to ensure that responsibilities of supervisors are met (see 33 below).
32. Supervisors will normally have a maximum of 8 and not more than 6 research students for whom they act as principal supervisor. Allocation of supervisory responsibilities will take into account other duties and professional commitments.
33. The principal supervisor's contract period will normally extend to cover at least the expected duration of the student's research programme. If a supervisor leaves Queen Mary, the Director of Research will ensure that a suitable replacement is identified, normally the existing second supervisor if they are a Queen Mary staff member. If this proves impossible, a departing principal supervisor may continue as an external member of the student's supervisory team, but in all cases a replacement primary supervisor must be nominated to act as the main point of contact with Queen Mary. Temporary arrangements will be made to cover periods of sabbatical leave or other prolonged absence (over 8 weeks) on the part of supervisors.
34. Any problems with the operation of the supervisory team or the supervisory relationship in general should be reported to the Director of Research in the first instance.
35. Arrangements for supervision and access to facilities during a period of revision when a student has been required to re-enter for the examination will be agreed at the start of any such period, and approved by the Director of Research.

Responsibilities of supervisors

36. Principal supervisors will:

- [a] Be sufficiently knowledgeable in the student's area of research.
- [b] Meet the student according to a mutually-agreed schedule, to monitor progress to date and review the programme for future work. Formal supervisory meetings for full-time students should take place at a minimum frequency of

once every two months (for part-time students once every four months) during the entire period of registration, but the frequency of meetings will naturally vary over the duration of the programme. Meetings should normally take place in person, but may take place via other means if all participants are in agreement.

- [c] Give advice on scheduling work so that the thesis will be submitted within the four-year timeframe, and provide advice and help when difficulties occur.
- [d] Request written work as appropriate according to an agreed timetable, and return such work promptly with honest and constructive criticism, either orally or in writing. Written work should normally be returned within a month of submission, and students should be advised at the time of submission if other responsibilities will prevent this being achieved.
- [e] Assist the student in identifying research and other training needs at the beginning of the research programme, and in reviewing these needs over the course of the programme's duration.
- [f] Advise the student on QMUL policies on research integrity, including the necessity of obtaining research ethics approval or undertaking a risk assessment before the research in question is undertaken.
- [g] Advise the student on discussing work with third parties (bearing in mind the need to maintain confidentiality), and introduce him/her to other scholars in the field.
- [h] Monitor the student's progress and inform him/her if it is not satisfactory, and make regular (at least annual) reports on student progress to the Director for Research.
- [i] Inform the School/Institute, the Research Degrees Office, the Dean for Research and any funding body if the student ceases to attend regularly, or fails to progress over a prolonged period.
- [j] Nominate potential internal and external examiners for the student's final examination and arrange a mutually convenient date and place for the oral examination.
- [k] Respect and adhere to the QMUL Student Charter, behaving honestly and with integrity at all times-

Responsibilities of students

37. Students will:

- [a] Work diligently on the programme of research and aim to complete the programme and submit the thesis within the agreed time frame.
- [b] Take overall responsibility for the research and the work produced.
- [c] Take a pro-active role in discussing with the supervisory team the type of guidance and comment that is most helpful at different points in the progress of the research.

- [d] Agree a schedule of meetings with the supervisory team, and attend these promptly.
- [e] Maintain a record of topics discussed at supervisory meetings and the actions agreed, and of any relevant training undertaken/courses attended.
- [f] Submit written material as required in sufficient time to allow for comment and discussion, and respond honestly and constructively to comments and suggestions (although this does not alter the student's overall responsibility for the work).
- [g] Attend any programme(s) of subject-specific and generic training, taught classes and research seminars, in accordance with the policy of Queen Mary, the School/Institute and/or Faculty, and as agreed with the supervisory team.
- [h] Conform to all QMUL policies on research integrity, and associated processes, including submitting an application for ethical approval for their research where necessary.
- [i] Inform the supervisory team of any problems or difficulties when they arise.
- [j] Submit reports for assessment and other work to inform decisions about his/her progress as required (see 34 - 37 below).
- [k] Enrol as a student of Queen Mary at the beginning of the programme of study, and re-enrol subsequently at the start of each academic year.
- [l] Monitor their @qmul.ac.uk email address issued to them at enrolment to ensure they are receiving all formal communications from the CollegeQMUL. Official emails relating to periods of re-enrolment, progression or status transfers etc will only be sent to this address, regardless of whether the student subsequently receives an additional departmental email address. It is the student's responsibility to set up forwarding from their official account to other addresses as needed / appropriate.
- [m] Respect and adhere to the QMUL Student Charter, behaving honestly and with integrity at all times.

Responsibilities of Directors of Research

37. The Head of School/Director of Institute delegates responsibility to the Director of Research who will:
- [a] Appoint as a delegate for PGR matters a Director of Graduate Studies if appropriate.
 - [b] Oversee the admissions process for research degrees, and ensure that students are admitted for a research degree only where suitable supervision and the necessary equipment and facilities are available.
 - [c] Ensure that an appropriate principal and second supervisor or supervisory team is appointed for each student.

- [d] Ensure that all staff appointed as supervisors are appropriately trained for their role.
- [e] Ensure suitable alternative supervision arrangements in the case of breakdown of relations between a supervisor and the student or where a change of supervisor is desirable. In case of absence or the departure of the principal supervisor, ensure that adequate arrangements are made for the student's continuing supervision.
- [f] Oversee the monitoring of student progress in accordance with the Regulations and the Code.
- [g] Sign off formal progress and status transfer reviews on behalf of the School/Institute before approval by the Dean for Research.
- [h] Receive and deal with student complaints and problems in the first instance.

Progression and review

- 38. The supervisor is responsible for regular informal reviews of student progress (see 31 above) and will inform the student if progress is not satisfactory.
- 39. The supervisor will report on the progress of each student at least annually to the Director of Research in the School/Institute.
- 40. The Academic Regulations for Research Degrees outline the parameters for student progression, including the requirements for formal review at during the programmes 6-9 months, and transfer to writing up status. Additional formal progress reviews may be required by the Deans for Research, who will publicise the timings and procedures to be followed. It is the responsibility of the Director of Research to ensure that students' progression is assessed in accordance with the Regulations and published procedures.
- 41. The outcomes of formal reviews will be reported to the relevant Dean for Research and to the Research Degrees Office so that the student's central record may be updated appropriately.

Termination of registration

- 42. The Academic Regulations outline the reasons for which a student's registration may be terminated. Schools, Institutes and the Dean for Research may recommend that a student's registration be terminated on the grounds of insufficient academic progress. This recommendation may follow a formal progress review but may also be made at other points during the programme of study. Such a recommendation should only be made after the student has been given at least one written warning that they are at risk of de-registration unless specified objectives are met within a clear timeframe.
- 43. Recommendations for termination on the grounds of insufficient academic progress must be made by the School/Institute's Director of Research and must be communicated to the Research Degrees Office.

44. The formal procedures for de-registration, and for appeals against decisions to de-register a student, are outlined in the Academic Regulations and related policies/procedures. These are available on the Research Degrees Office website.

Interruption of study and extension of registration

45. The Director for Research is responsible for receiving and considering student requests for interruptions. Decisions to grant an interruption or extension of study beyond the maximum registration period are taken by the Dean for Research.
46. Interruptions to the course of study may be permitted in accordance with the Academic Regulations and approved policy for a number of reasons: illness, personal and family reasons, and pregnancy or pregnancy-related illness. The Dean for Research may also grant interruptions for other reasons they consider acceptable. Interruptions must not be granted solely on the grounds of lack of progress.
47. Research degree students are permitted to interrupt their studies for whole months only and must return to their studies at a designated re-enrolment point.
48. Students must not continue to work on their research during interruptions of study and should not have access to the library. They should only have limited contact with academic staff during a period of interruption.
49. In cases of illness or injury, the student is expected to inform the supervisors and the School/Institute of absences of more than two weeks and provide a medical certificate. Where a student is expected to be absent for more than two months, whether consecutively or cumulatively, arrangements should be put in place to interrupt the course of study where appropriate.
50. All interruptions and extensions should be notified to the Research Degrees Office in advance of their commencement. Interruptions cannot normally be applied retrospectively.

Research training and skills development

51. All students will have access to training in appropriate research methods and other relevant and generic skills. They are required to attend appropriate courses provided by their School or Institute, Faculty and the CAPD. The individual programme of research training will be discussed at the initial meeting with the supervisory team, and reviewed during the course of the programme, particularly at formal progress reviews.
52. Schools or Institutes will offer, where appropriate, a collective research training programme for their students. This may include seminars that all students will normally be expected to attend and participate in on a regular basis.
53. Students may be given the opportunity to contribute to teaching through lecturing, demonstrating practical classes, project supervision, marking and taking tutorials. All students must receive appropriate training before commencing any teaching.

54. Students will be given advice by supervisors and/or the Director for Research on the use of Queen Mary's mechanisms for recording personal development activity (Personal Development Plans).

Research Ethics Integrity

55. Students and supervisors will familiarize themselves with the [QMUL College's](#) policies [on Research Integrity](#) and [associated](#) procedures for the ethical review of research, and submit an application for approval if necessary at the appropriate point before the research is undertaken.

Intellectual Property

56. Students and supervisors should familiarize themselves with the [QMUL College's Policy Code of Practice](#) on the Exploitation of Intellectual Property. They should ensure that they implement and adhere to this policy throughout the research and in any interactions, whether in person or through electronic media, with parties external to the [College QMUL](#).

Collaborative arrangements

57. Collaborative arrangements for the supervision and award of research degrees are approved in accordance with the policy and procedures established by Senate for that purpose.
58. Students may study at an accredited host institution in accordance with the Academic Regulations. Arrangements will be put in place for such students to ensure that the requirements of this Code are adhered to, particularly regarding supervision arrangements and progression monitoring.

Feedback mechanisms

59. Students will be advised during the induction period of the mechanisms for providing feedback to the School/Institute, including opportunities for representation on relevant committees such as Staff Student Liaison Committees.
60. Feedback from recent graduates is sought via a questionnaire to be completed at the end of the examination process.

Examinations

61. The criteria for assessment of research degrees are outlined in the Academic Regulations and the Guidelines for Research Degree Examinations.
62. The procedures for examination entry and the examination process are outlined in the Procedures for Research Degree Examinations.
63. The Research Degrees Programmes and Examinations Board will monitor issues arising from reports from research degree examiners and recommend appropriate action. Deans for Research will provide a summary report on examinations in their

sector on an annual basis, to be supplemented by statistical information from the Research Degrees Office.

Complaints and appeals

64. Students who wish to make a complaint about any aspect of their research programme should refer to the ~~College's~~ Student Complaints Policy (available on the Academic Registry and Council Secretariat website), which outlines the procedures to followed.
65. Students who wish to appeal against the outcome of the recommendation of examiners or the outcome of a progression review should refer to the ~~College~~ Appeal Regulations (available on the Academic Registry and Council Secretariat website), which outline the procedures to be followed.

Research Degrees Office
Queen Mary, University of London
Mile End Road
London
E1 4NS
researchdegrees@qmul.ac.uk