

REGULATIONS FOR THE DEGREES OF MPhil AND PhD

October 2008

1. Introduction

- 1.1 These regulations govern the conduct and award of the degrees of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD).
- 1.2 The regulations are made subject to the *General Academic Regulations* of the Institute, the *Assessment Regulations for Students* and all other relevant regulations, policies and procedures of the Institute.

2. Definitions

- 2.1 In these regulations, terms have the meanings assigned to them in the *General Academic Regulations* unless otherwise stated in the text.
- 2.2 Any reference in these regulations to the Academic Registrar, Dean of the Doctoral School, Dean of Faculty or other named officer of the Institute shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

- 3.1 Candidates for admission must satisfy the requirements laid down in the *General Academic Regulations*.
- 3.2 The normal minimum entrance requirements for admission to an MPhil or PhD are either:
 - 3.2.1 a first or upper second class honours degree obtained after a course of study extending over not less than three years in a university (or educational institution of university rank); or
 - 3.2.2 a postgraduate taught degree of a UK university or an overseas qualification of an equivalent standardin an area of specialism appropriate to the research to be undertaken.
- 3.3 A candidate not satisfying these requirements may be considered for admission if the Institute is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such

cases, the Institute will prescribe qualifying work that must be completed to the satisfaction of the Academic Registrar before registration.

- 3.4 Candidates for admission may in addition be required to pass an approved English language test at a specified level. The normal level of pass required in the International English Language Testing System (IELTS) will be 7.0 overall, with individual scores for writing and for reading no lower than 7.0. The normal level of pass required in Test of English as a Foreign Language (TOEFL) will be 650 in the paper-based test or 280 in the computerised test or 114-115 in the internet-based test.
- 3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission.
- 3.6 At the discretion of the Academic Registrar, a candidate who fails to pass a qualifying examination prescribed for him/her may be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.
- 3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by the Institute is required.
- 3.8 Every candidate must make application to the Institute in accordance with the *General Academic Regulations* and any other procedures prescribed by the Institute.

4. Registration

- 4.1 A candidate for a research degree will be registered initially for the MPhil degree except where the Academic Registrar has given permission for initial registration for the PhD degree in accordance with the Institute's *Admissions Policy and Procedures for Research Degrees* or where a member of staff is permitted to register for a PhD by publication under 4.2 below.
- 4.2 A member of Institute staff permitted to register for a PhD by publication shall be expected to meet the conditions laid down in the Annex to these regulations.
- 4.3 Students registered for the MPhil or PhD degree may be exempted from part of the course of study if they have commenced a course of study for the MPhil or PhD degree (or equivalent degree) of another university, provided there is no change in their topic of research and provided they meet the conditions laid down in the *Admissions Policy and Procedures for Research Degrees* (See also regulations 5.4 and 6.4).
- 4.4 The Institute may permit a student to transfer registration from the MPhil degree to PhD and from the PhD degree to MPhil in accordance with the

procedures determined by the Institute from time to time, and published in the relevant student handbooks issued by the Institute, provided that no transfer of registration is permitted after entry to the examination for the degree from which the student is transferring. Registration for the degree to which transfer has been made may date from initial registration for the degree from which transfer has been made.

- 4.5 On transfer of registration, the registration for the original degree will be terminated.
- 4.6 Students registered for the MPhil or PhD degree at the Institute shall not be permitted to register concurrently for another course at the Institute or at any other higher education institution, except for those courses specified from time to time by the Academic Registrar.
- 4.7 A student who withdraws before completing the programme of study may be required to re-start the whole programme should the student subsequently be permitted by the Institute to re-register for it.

5. Attendance and Course of Study

- 5.1 The Institute shall establish a *Code of Practice for Research Degrees* for supervisors and research students and shall appoint a supervisor and an advisory panel for each of its students registered for the MPhil or PhD degree in accordance therewith.
- 5.2 Every student shall be required to pursue a course of study under the direction of their supervisor and in so doing to undertake their studies at such time(s) as the Institute and their supervisor may require, and to complete an agreed research training programme and any coursework as prescribed by the Institute.

For a full-time student, the minimum period of registration for an MPhil or PhD degree shall be two calendar years, save as prescribed in 5.4 below. For part-time students the minimum period of study shall be three years for an MPhil or PhD, save as prescribed in 5.4 below. Where a student follows periods of both full- and part-time study the total length will be adjusted according to the length of registration spent in each mode. For staff registered for a PhD by publication the minimum period is as specified in the Annexe, regulation A6.

- 5.4 A student accepted under regulation 4.3 may be exempted by the Institute from part of a course of study for the MPhil or PhD degree provided that the course of study followed at the Institute is not less than one calendar year of full-time registration or two calendar years of part-time registration.
- 5.5 A course must be pursued continuously except by special permission of the Academic Registrar.
- 5.6 The progress of each student shall be formally reviewed on an annual basis in accordance with the *Code of Practice for Research Degrees*.

- 5.7 Full time MPhil or PhD students are expected to submit their thesis for examination within four calendar years of the date of the initial registration for the degree and part-time MPhil or PhD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration. Exceptionally, the Academic Registrar may grant permission for a longer period of study in accordance with agreed procedures as laid down in the *Code of Practice for Research Degrees*, except that this shall not exceed ten years from the initial date of registration. For a student accepted under regulation 4.3, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student. For a student registered under regulation 4.2 the period of registration shall be as prescribed in the Annexe.
- 5.8 The Academic Registrar may approve an application from a person proposing to work away from the Institute for a proportion of the prescribed period of registration, provided that:
- 5.8.1 the student agrees a pattern of study with his/her supervisor that enables him/her to meet the requirements of the MPhil/PhD programme (any departure from this pattern of study after acceptance of a place must be approved by the Academic Registrar); **and**
 - 5.8.2 the student is able to provide satisfactory evidence as to the availability of appropriate facilities for the research at the student's location; **and**
 - 5.8.3 the arrangements proposed for supervision enable frequent and substantial contact between the student and the supervisor(s) in accordance with the *Code of Practice for Research Degrees*.
- 5.9 All research conducted must conform to the Institute's Research Governance and Ethics Policy and Procedures.
- 5.10 All work submitted as part of the requirements for any examination of the Institute must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.
- 5.11 The Institute's *Regulations for Proceedings in relation to Assessment Irregularities* will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 10.2 below.
- 5.12 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *General Academic Regulations*.

6. Requirements applicable to the MPhil or PhD

- 6.1 Candidates registered under regulation 4.2 shall be required to satisfy the requirements for entry to the examination of the PhD by Publication specified in the Annexe and shall not be subject to regulations 6.3, 6.4, 6.7, 6.10 and 7.1.
- 6.2 Candidates for entry to the examination of the MPhil or PhD must satisfy the requirements applicable to theses for such degrees as laid down in these and the *General Academic Regulations* of the Institute
- 6.3 The thesis must:
 - 6.3.1 consist of the candidate's own account of his/her investigations.
 - 6.3.2 be an integrated whole and present a coherent argument;
 - 6.3.3 include a full bibliography and references;
 - 6.3.4 be written in English and of a satisfactory standard of literary presentation
- 6.4 The greater proportion of the work submitted in a thesis must have been done after the initial registration for a research degree at the Institute, except that in the case of a student accepted under regulation 4.3 there shall be allowance for the fact that the student commenced his/her registration at another institution.
- 6.5 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis wider field work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that the candidate indicates on his/her entry form and in his/her thesis any work which has been so incorporated.
- 6.6 Except insofar as regulation 6.8 applies, the work in the thesis submitted by the candidate must be his/her own and submission of a thesis for examination for the MPhil or PhD degree will be regarded as a declaration of this fact.
- 6.7 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 only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of 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. Publications derived from the work in the thesis may be bound as supplementary material at the back. A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own (*see also regulation 6.8*) and that the thesis presented is

the one upon which the candidate expects to be examined. The word count (see regulation 7.1.5 and 8.1.3) for the thesis must also be included in the thesis.

- 6.8 A candidate may submit the results of work done in conjunction with his/her supervisor and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researcher(s) (*see also regulation 6.6*).
- 6.9 The title of the candidate's thesis must be approved by the candidate's supervisor.
- 6.10 If appropriate to the field of study, and subject to approval by the Academic Registrar, a candidate may undertake research leading to the submission of a portfolio of original artistic or technological work undertaken during his/her period of registration. The work may take the form of, for example, objects, images, films, performances, musical compositions, webpages or software, but must be documented or recorded in the portfolio by means appropriate for the purposes of examination and eventual deposit in the Institute library. The portfolio must include written commentary on each item of artistic or technological work and either an extended analysis of one item or a dissertation on a related theme. The written commentaries and extended analysis or dissertation must together be no more than 40,000 words.
- 6.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the Academic Registrar of the Institute.
- 6.12 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the Academic Registrar, for lodging in the Institute, the required number of copies of the thesis in the format as specified in the instructions issued by the Academic Registrar, if the copies of the thesis submitted for examination did not conform with this specification.

7. Specific Requirements for PhD Thesis

- 7.1 The scope of the thesis shall be what might reasonably be expected after three years of full-time study or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, the thesis shall:
 - 7.1.1 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;
 - 7.1.2 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 advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

- 7.1.3 demonstrate relevant research skills;
- 7.1.4 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); and
- 7.1.5 not normally exceed 80,000 words, excluding the bibliography and appendices and including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

[Note: The Institute will consider applications for an extension of the word limit up a maximum of 100,000 words if supported by the student's supervisor.]

8. Specific Requirements for MPhil Thesis

- 8.1 The scope of the thesis shall be what might reasonably be expected after two years of full-time study or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, shall
 - 8.1.1 be either a record of original work or of an ordered and critical exposition of existing knowledge and shall provide evidence that the field has been surveyed thoroughly;
 - 8.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and
 - 8.1.3 not exceed 60,000 words, excluding the bibliography and appendices and including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

9. Entry to examination and submission of thesis for MPhil or PhD

- 9.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *Guidelines for the Conduct of Oral Examinations* issued by the Institute.
- 9.2 The decision to submit a thesis rests with the candidate alone.
- 9.3 A student may submit a thesis for examination only after the minimum registration period has passed

- 9.4 The student's supervisor shall report that he/she has completed the programme of study in accordance with the regulations before a candidate is admitted to the examination for the degree.
- 9.5 The student must submit the entry form at least **four months** before the submission of the thesis, and this will initiate the procedure for the appointment of examiners.
- 9.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words.
- 9.7 If the candidate has not submitted his/her thesis for examination within 18 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor and Faculty Postgraduate Research Committee requests otherwise.
- 9.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound, in accordance with instructions obtainable from the Academic Registrar. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.
- 9.9 In addition, a candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the Institute.
- 9.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study at the Institute. In the case of a student registered for the PhD by Publication, submission must normally be within one calendar year of initial registration for the award. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Postgraduate Research Committee and the Academic Registrar.

10. Declaration

- 10.1. It is a requirement for the award of the MPhil or PhD degree that one hard bound copy of a successful thesis is placed in the Institute's library and one electronic copy to be made available for public reference.
- 10.2. At the time of entry to the examination candidates for the MPhil or PhD degrees will be required to sign a declaration confirming that the work presented is their own as specified in regulation 6.6. and 6.7, is fit for examination and that a copy may be made available for public reference.
- 10.3 A candidate may apply to the Board of Examiners for Doctoral Awards for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

11 Appointment of Examiners and Conduct of Examination

- 11.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by the Institute, are removed.
- 11.2 The outcome of the examination is determined by two or more examiners acting jointly.
- 11.3 The Board of Examiners for Doctoral Awards shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from the Institute and an external examiner appointed from outside the Institute. With the permission of the Board of Examiners for Doctoral Awards both examiners may be appointed from outside the Institute. Only one examiner may be appointed from within the Institute.
- 11.4 If the candidate is a member of staff of the Institute, both examiners shall be external to the Institute.
- 11.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.
- 11.6 The Board of Examiners for Doctoral Awards shall also appoint, at the request of the examiners, an additional examiner who is external to the Institute. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.
- 11.7 The Board of Examiners for Doctoral Awards shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Board of Examiners for Doctoral Awards must be satisfied that the examiner appointed is familiar with the British higher education system.
- 11.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.
- 11.9 Candidates must attend for examination at a place and time determined by the Institute (see also regulation 9.9).

- 11.10 The oral examination will be held in London. The Academic Registrar may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.
- 11.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.
- 11.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.
- 11.13 The chair shall be appointed in accordance with the *Guidelines for the Conduct of Oral Examinations*.
- 11.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to the Institute before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.
- 11.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.
- 11.16 After any oral examination, the examiners shall prepare a joint final report for submission to the Institute. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.
- 11.17 The examiners may, at their discretion, consult the independent chair before completing their report.
- 11.18 Copies of the reports shall be sent to the Academic Registrar who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination. (see also 12.4 and 13.4).
- 11.19 Examiners have the right to make comments in confidence to the Director of the Institute in a separate report. Such comments should not normally be concerned with the performance of the candidate.

12. Outcome of PhD Examination

- 12.1. Candidates for the PhD degree must submit a thesis and be examined orally, save as prescribed otherwise in 12.2 below. For candidates submitting a PhD by Publication, regulations 12.2 to 12.5 do not apply; instead such candidates should refer to regulations A16 and A17 in the Annexe.
- 12.2 The options open to examiners in determining the result of the examination are as set out below.

Pass

- 12.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Board of Examiners for Doctoral Awards that the candidate has satisfied them in the examination for the PhD degree.

Pass subject to corrections within one month

- 12.2.2 If the thesis otherwise fulfils the criteria but requires corrections (ie typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required amendments. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

- 12.2.3 If the thesis otherwise fulfils the criteria but requires amendments (ie stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 12.2.4 should be followed.

Referral – re-present within 18 months

- 12.2.4 If the thesis, though judged not to meet the standard required, 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. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

- 12.2.5 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.

Not awarded PhD but considered for award of MPhil

- 12.2.6 If, after completion of the oral examination or re-examination for the PhD, the examiners decide that a candidate has not reached the standard required for the award of the degree nor for the re-presentation of the thesis in a revised form for that degree, they will consider whether the thesis does, or might be able to, satisfy the criteria for the award of the MPhil degree. If they so decide, they will submit a report that demonstrates either how the criteria for the MPhil degree are satisfied, or what action would need to be taken in order for these criteria to be satisfied. They will have regard to the different normal maximum lengths of the thesis for the PhD and MPhil degrees but will have discretion to waive the thesis length for the MPhil degree if appropriate.

Thereafter the following conditions and procedures will apply:

- a) The candidate will be informed that he or she has been unsuccessful in the examination for the PhD degree, but has reached the standard required for the award of the MPhil, or with amendment to the thesis may be able to satisfy the criteria for the MPhil.
- b) A candidate considered for the award of the MPhil degree under this regulation will not be required to submit the thesis, as required under the regulations for the MPhil degree, or to undergo a further oral examination, but will be required to fulfil the requirements for the MPhil in all other respects.
- c) A candidate offered an MPhil degree under these regulations must make any minor amendments required by the examiners within a period they specify, but not exceeding twelve months. The candidate must submit the amended thesis to the examiners who will decide whether the amendments have been completed to their satisfaction

Fail – may not re-present (12.3)

- 12.3 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.
- 12.4 If the examiners are unable to reach agreement, their reports shall be referred to the Board of Examiners for Doctoral Awards which shall determine the action to be taken.
- 12.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to the Institute to register for another course of study leading to the submission of a thesis on a different topic.

13 Outcome of MPhil Examination

- 13.1 Candidates for the MPhil degree must submit a thesis and be examined orally, save as prescribed otherwise in section 12.2.6.
- 13.2. The options open to examiners in determining the result of the examination are as set out below.

Pass

- 13.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Board of Examiners for Doctoral Awards that the candidate has satisfied them in the examination for the degree of MPhil.

Pass subject to corrections within one month

- 13.2.2 If the thesis otherwise fulfils the criteria but requires corrections (ie typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

- 13.2.3 If the thesis otherwise fulfils the criteria but requires minor amendments (ie stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by the examiners, normally within 6 months of having received them. The examiners shall

be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.

Referral – represent within 12 months

13.2.4 If the thesis fulfils the criteria 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. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

Fail – may not re-present (13.3)

- 13.3 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.
- 13.4 If the examiners are unable to reach agreement, their reports shall be referred to the Board of Examiners for Doctoral Awards, which shall determine the action to be taken.
- 13.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to the Institute to register for another course of study leading to the submission of a thesis on a different topic.

14 Notification of Results of MPhil and PhD Examinations

- 14.1 After the report of the examiners has been considered by the Board of Examiners for Doctoral Awards, the candidate shall be notified by the Academic Registrar of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with the Institute in accordance with regulation 9.8.
- 14.2 A diploma under the seal of the Institute of Education, University of London shall be subsequently delivered to each candidate who has been awarded a degree.
- 14.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of the Institute at the date of issue.
- 14.4 No person will be awarded any qualification who has not settled any tuition account outstanding with the Institute or the University or made acceptable

arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

- 14.5 The Academic Registrar may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of the Institute, unless required to disclose information by law.
- 14.6 The Institute has an approved *Procedure for Consideration of Representations by Research Degree Candidates concerning the Result of the Examination of the Thesis* that is available from the Academic Registrar. An application under this *Procedure* must be made within two months of notification of the result of the examination to the candidate.

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PhD by Publication

These regulations for the PhD by publication should be read together with the Regulations for the degrees of MPhil and PhD to which they are appended.

Admission and Registration

- A1. A candidate for the degree of PhD by submission of a thesis based on published work must be a member of staff of the Institute of Education.
- A2. A candidate shall apply in writing to the Academic Registrar for admission to the degree of PhD by Publication under these regulations.
- A3. The request for admission shall be considered by the Dean of the Doctoral School in consultation with the Dean of Faculty, or equivalent, where the member of staff is employed.
- A4. The Dean of the Doctoral School shall consider the application on the basis of:
 - A4.1 the ability of the candidate to satisfy the normal requirements of admission to the PhD programme (as indicated in regulation 3 above);
 - A4.2 the submission of satisfactory evidence of published work of a type and nature which is consistent with the award of a degree at this level;
 - A4.3 a nomination and statement of support for the candidate from a member of the Institute's academic staff confirming the existence of a common research interest with the nominee; and
 - A4.4 the availability of suitable expertise in the Institute to advise the candidate.
- A5. Where admission to the degree is approved, an academic supervisor shall be appointed to provide guidance to the candidate on the presentation of the thesis based on published work.

Registration and Course of Study

- A6. The minimum period of study shall normally be six months and the maximum period shall be twelve months. If a candidate does not submit for examination within the maximum period, unless an extension is approved by the Dean of the Doctoral School, his or her registration for the PhD by Publication shall be terminated.
- A7. During the period of study the candidate shall prepare, with the guidance of the academic supervisor, the following material:
 - A7.1 a list of the publications on which the assessment for the degree is to be based;

- A7.2 a full bibliography of all relevant work published by the candidate
- A7.3 in cases where multi-authored works are included in the submission, evidence (preferably in the form of written confirmation by at least one co-author per published work) of the candidate's own original contribution to the work must be given
- A7.4 a thesis, consisting of an integrative summary of between 10,000 and 20,000 words in length, explaining the significance of the published works and the inter-relationship between the materials presented.
- A8. The material listed in A7 above must be submitted, together with the published work to be assessed, by the end of the period of study.
- A9. Except for the integrative summary, a candidate may not include with his or her submitted thesis work that has not been published.

Declaration

- A10. The candidate shall be required:
 - A10.1 to declare that the thesis is not substantially the same as any previously submitted or currently being submitted by the candidate whether published or in unpublished form, for a degree, diploma, or similar qualification at any university or similar institution; and
 - A10.2 where the thesis submitted includes work conducted in collaboration with others, to provide a written statement normally signed by at least one of the co-researchers on the extent of the candidate's individual contribution to the material and the conditions and circumstances under which the work was carried out – see A7.2 above.

Specific Requirements for PhD by Publication

- A11 The thesis submitted for the award of the degree of PhD by Publication shall be of sufficient scope to provide evidence of adequate industry and application of an extent characteristic of at least four years' active research effort in the candidate's field and:
 - A11.1 present a coherent programme of research undertaken by the candidate;
 - A11.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

- A11.3 through the publications and integrative summary provide evidence of a critical assessment of the relevant literature; where relevant, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;
- A11.4 demonstrate relevant research skills;
- A11.5 include a full bibliography and references;
- A11.6 be written in English and of a satisfactory standard of literary presentation.

A12 Additionally, in the case of collaborative work, the examiners must satisfy themselves that the part of the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.

Entry to examination and submission of work

A13 The candidate shall be subject to the regulations set out in Section 9 of the PhD regulations except that he or she shall be expected to submit two copies of the publications and the integrative summary bound in accordance with instructions obtainable from the Academic Registrar and in accordance with the *Guidelines for the Conduct of Oral Examinations*.

Appointment of Examiners and Conduct of Examination

A15 The examiners for the PhD by Publication shall be appointed in accordance with procedures set out in section 11 of the PhD regulations.

Outcome of examination of PhD by publication

A16 Candidates for the PhD by Publication must submit the thesis comprising the publications and integrating paper and be examined orally save as prescribed otherwise in paragraph A17 below.

A17 The options open to the examiners in determining the result of the examination are as set out below:

- A17.1 if the thesis comprising publications and integrating paper submitted fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report that the candidate has satisfied them in the examination for the PhD degree; or
- A17.2 if the thesis otherwise fulfils the criteria but requires minor

amendments to the integrative summary and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such minor amendments within three months of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to the one of the examiners nominated by them for confirmation that the corrections are satisfactory; or

A17.3 if the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may require the candidate to submit a revised integrative summary, and/or a different selection of published material, for a PhD within a prescribed period not exceeding 12 months from the date the candidate is notified by the Institute of the decision of the examiners. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form;

or

A17.4 if the work 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; or

A17.5 that the work be not approved for the award of the degree of PhD because the criteria for the award are not met and that there is no reasonable expectation of their fulfilment within 12 months from the date of assessment. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

A18 Where the examiners are unable to agree on the recommendation to be made or if, for any reason, a further opinion is required on the work submitted, a third external examiner shall be appointed by the Board of Examiners for Doctoral Awards.

A19 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination using the same material or any part of the material for the degree of PhD. However, exceptionally, a candidate may apply to the Institute of Education to register for another course of study leading to the submission of a thesis on a different topic.

Notification of Results

- A20 The regulations for the PhD shall be followed in respect of the notification of the result to the candidate.
- A21 If the candidate is approved for the award of the degree, the Academic Registrar shall deposit one copy of the thesis in the Newsam library where it can be available for consultation.

October 2008