

**ACADEMIC REGULATIONS 4:  
Research Degrees**

**2011-2012**

**Incorporating:**

MA/MSc by Research

Master of Philosophy (MPhil)

Doctor of Philosophy (PhD)

Doctor of Philosophy  
by submission of a portfolio of published works

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## Section 1

# REGULATIONS FOR THE AWARD OF MASTERS BY RESEARCH

*These regulations should be read in conjunction with the University's Academic Regulations and General Regulations, all of which apply. See Information for Staff and Research Student Handbook for further guidance*

### STANDARD OF THE AWARD

- 1 The standard of the MA or MSc by Research is that expected of a good honours graduate who has achieved a minimum of 180 credits at M level by critically investigating and evaluating an appropriate topic, and presenting and defending a dissertation to the satisfaction of the examiners.

### ENTRY REQUIREMENTS FOR APPLICANTS

- 2 The normal minimum requirement for admission to the MA or MSc by Research is a first or second class honours degree, or equivalent, in a subject appropriate to the proposed programme of study.
- 3 Applicants whose first language is not English will be required to provide evidence of an English language qualification (IELTS score of 7 or equivalent is recommended).

#### **Non-standard entrants**

- 4 Exceptionally, an applicant without these minimum qualifications may be considered for entry. For example, the Head of School and potential Director of Studies may consider for admission an applicant with relevant professional qualifications and experience, where these provide sufficient evidence of potential to complete the degree programme satisfactorily. In such cases, the application for registration must be made to the University Research Degrees Committee.

### PROGRAMME OF RESEARCH

- 5 A programme of research may be in any field of study, provided that the programme: is capable of leading to scholarly research, which may include appropriate creative work, and can be assessed by the presentation of a dissertation and an oral examination.
- 6 A programme of research must have an identified Director of Studies (who will act as the primary supervisor) plus one other supervisor. Normally, the supervisors will work with the applicant to prepare the initial outline of the proposed programme of research.

#### **Externally funded research**

- 7 Where the proposed programme is part of an externally funded project, there must be appropriate safeguards to ensure that the terms of the contract will not prevent the fulfilment of the objectives of the proposed research programme.

## **APPROVAL TO REGISTER**

- 8 Students will be registered for the MA/MSc by Research when:
- the proposed programme of research has been approved by the appropriate Faculty Research Degrees Committee
  - any exceptional arrangements have been approved by the University Research Degrees Committee
  - the student has completed the enrolment process
- 9 A student's registration may be terminated under the University's Procedures for Expulsion on Academic Grounds or the Code of Student Discipline.
- 10 If students are prevented from continuing their study by illness or other mitigating circumstances, a formal request for the registration to be suspended must be submitted for approval by the Faculty Research Degrees Committee.
- Period of registration**
- 11 Students registered for an MA/MSc by Research should normally have completed their programme of study and have presented their dissertation for examination within one year if they are studying full-time or two years if they are studying part-time
- 12 In exceptional circumstances, a student's period of registration may be extended once for a maximum period of four months if the application for an extension is made to the Faculty Research Degrees Committee before the registration period has expired.

## **TRAINING**

- 13 The University expects all research students to undertake an agreed programme of research training. The initial programme will be discussed by the Director of Studies and the student and submitted to the FRDC for approval as part of the application for provisional registration.

## **ASSESSMENT PROCESS**

- 14 The assessment of a candidate for an MA/MSc by Research has two elements: production of a dissertation and the defence of the dissertation in an oral examination
- 15 The arrangements for the assessment of a candidate will be submitted to the Faculty Research Degrees Committee for approval, including the title of the dissertation and the names of the internal and external examiners
- 16 The Faculty Research Degrees Committee will submit the examination arrangements including cv's of the proposed internal and external examiners to the University Research Degrees Committee for ratification; this may be done by Chair's action.
- 17 The oral examination will normally be held within two months of the submission of the dissertation.
- 18 The dissertation and the oral examination will be in English unless otherwise approved by the University Research Degrees Committee.

- 19 Once the examination arrangements have been approved, candidates must have no contact with their external examiner.

#### **Assessment panel**

- 20 Each candidate must be examined by an assessment panel of two examiners, comprising one external examiner and one internal examiner. Where the candidate is a member of Kingston University staff two externals must be appointed in addition to an internal.
- 21 The Faculty Research Degrees Committee will submit details of the proposed internal and external examiners to the University Research Degrees Committee for approval.
- 22 At least one of the examiners must have experience of examining research degree candidates at a comparable level.
- 23 Candidates' supervisors cannot be appointed as examiners.
- 24 The Faculty Research Degrees Committee will appoint an independent Chair.

#### **Exceptional arrangements**

- 25 All exceptional assessment arrangements must be approved by the University Research Degrees Committee. Examples of such exceptional arrangements include the submission of the dissertation in a language other than English; an assessment method other than an oral examination and dissertation.

#### **Submission of the dissertation**

- 26 The dissertation must be submitted in the required format, including word limits and before the period of registration has expired.
- 27 A copy of any dissertation submitted as part of a successful award of a research degree must be lodged with the University Library. An application for a dissertation to remain confidential (normally for two years) must be made to the Faculty Research Degrees Committee and ratified by the University Research Degrees Committee at the time the examination arrangements are submitted for approval.
- 28 Normally, a dissertation submitted for a research award should not contain any material that has been previously submitted for an award at an institute of Higher Education either in the UK or overseas. When submitting the dissertation, the candidate must confirm, by completing a Declaration form, that no part of the dissertation has been submitted for a comparable academic award except in cases detailed below.
- 29 In cases where a dissertation contains a proportion of material that has been submitted for a previous award, the nature and proportion of work must be clearly stated in the Declaration form and appropriate reference made in the dissertation. In these cases, the University Research Degrees Committee shall have the authority to decide whether or not to approve the submission of the dissertation for examination. The Committee must be satisfied that there is sufficient new material in the dissertation to warrant consideration for the award.

#### **Assessment of the dissertation**

- 30 Each examiner shall consider the dissertation independently and submit a brief report indicating one of the following:

- the content of the dissertation warrants consideration for the MA/MSc by Research award and the oral examination should be held
- the content of dissertation is not of a satisfactory standard to be considered for the MA/MSc by Research award and the oral examination should not be held (see paragraph 32)

31 If there is no initial agreement that the oral examination should proceed, the examiners will be informed and asked to reach a consensus. If this cannot be achieved, the oral examination will be held.

32 If the consensus view is that the dissertation is so unsatisfactory that the oral examination should not proceed, the examiners will be asked to provide a report outlining the deficiencies of the dissertation and recommending one of the following:

- the candidate be allowed to resubmit the dissertation for reassessment after corrections, in which case the candidate and the Director of Studies will be informed of the failure and given detailed advice about the requirements for resubmission
- the candidate should not be allowed an opportunity for reassessment

#### **Oral examination**

33 The oral examination will normally be held at the University. Approval to hold the examination elsewhere must be obtained from the University Research Degrees Committee.

34 All examiners must participate in the oral examination.

35 Following the oral examination, the examiners will be asked to provide a joint recommendation to the URDC (in its capacity as Examination Board) indicating one of the following:

- the candidate has reached the required standard and should be awarded the MA/MSc by Research
- the candidate has reached the required standard and should be awarded the MA/MSc by Research, subject to amendments to the dissertation by a specified date (normally within one month)
- the candidate has failed to reach the required standard for the degree, but should be permitted one further assessment opportunity. This can be defined as:
  - re-submission of the dissertation and its defence in a second oral examination (normally within four months.)
  - re-submission of the dissertation only (normally within four months.)
  - undertaking a second oral examination with no significant change to the dissertation
  - the candidate has failed to reach the standard for the degree and should not be offered an opportunity for reassessment

#### **Disagreement between examiners**

36 If the examiners are unable to reach a consensus view, the University Research Degrees Committee may:

- accept the recommendation of the majority of the examiners, provided that the majority includes at least one external examiner
- accept the recommendation of the external examiner even if it is not the majority view

- require the appointment of a new external examiner to conduct both stages of the assessment process and to make an independent recommendation to the University Research Degrees Committee

## **FAILURE AND REASSESSMENT**

- 37 A candidate may be reassessed on one occasion only. The form of the re-assessment will be stipulated by the University Research Degrees Committee in the light of the examiners' recommendations.
- 38 Following the completion of the reassessment, the examiners' recommendations will be one of the following:
- that the candidate has reached the required standard and may be conferred with the degree of MA/MSc by Research
  - that the candidate has reached the required standard and may be conferred with the degree of MA/MSc by Research subject to amendments to the dissertation by a specified date (normally within one month)
  - that the candidate has failed to reach the standard for the degree and can be permitted no further opportunity for reassessment.

## Section 2

### REGULATIONS FOR THE AWARD OF MASTER OF PHILOSOPHY (MPhil)

*These regulations should be read in conjunction with the University's Academic Regulations and General Regulations, all of which apply. See Information for Staff and Research Students' Handbook for further guidance.*

#### THE STANDARD OF THE AWARD

- 1 The standard of the MPhil is that expected of a good honours graduate who has achieved a minimum of 360 credits at M level by:
  - satisfactorily completing an agreed programme of research training
  - critically investigating and evaluating an appropriate topic
  - presenting and defending a thesis to the satisfaction of the examiners

#### ENTRY REQUIREMENTS FOR APPLICANTS

- 2 The normal minimum requirement for admission to the MPhil is a first or second class honours degree or equivalent in a subject appropriate to the proposed programme of study.
- 3 Applicants whose first language is not English will be required to provide evidence of an English Language qualification (IELTS score of 7 or equivalent is recommended).

#### Non-standard entrants

- 4 Exceptionally, an applicant without these minimum qualifications may be considered for entry. For example, the Head of School and Director of Studies may consider an applicant with relevant professional qualifications and experience where these provide sufficient evidence of potential to complete the degree programme satisfactorily. In such cases, the application for registration must be approved by the Faculty Research Degrees Committee and referred to the University Research Degrees Committee for ratification.

#### THE PROGRAMME OF RESEARCH

- 5 A programme of research may be in any field of study provided that the programme is capable of leading to scholarly research, which may include appropriate creative work, and can be assessed by the presentation of a thesis and an oral examination.
- 6 A programme of research must have an identified Director of Studies who will act as the primary supervisor. There must be at least one, and normally, not more than two additional supervisors, who should be nominated as part of the application for provisional registration. Normally, they will work with the applicant to prepare the initial outline of the proposed programme of research.

#### Collaboration

- 7 The University encourages collaboration with outside institutions and organisations. Where a research student is working in a collaborative arrangement, evidence must be appended to the application for provisional registration giving details of the nature

of the arrangement. In cases where Kingston University requires additional physical or staffing resources to support a programme of research, suitable collaborative arrangements may be proposed, and will require the approval of the University Research Degrees Committee.

*Note: Advice on formal collaborations is available from the Academic Registry.*

#### **Externally funded research**

- 8 Where the proposed programme is part of an externally funded project, there must be appropriate safeguards to ensure that the terms of the contract will not prevent the fulfilment of the objectives of the proposed research programme.

#### **Group projects**

- 9 Where the proposed programme is part of a larger group project, there must be clear evidence to show how the individual programme is distinct and separate in its aims and objectives from both the overall project and any other research programmes in the same field of study.

### **REGISTRATION**

- 10 Students will be registered for the MPhil when:
- the application to register, including an outline programme of research has been approved by the appropriate Faculty Research Degrees Committee
  - any exceptional arrangements have been approved by the University Research Degrees Committee
  - the enrolment process has been completed
- 11 Registration is re-confirmed annually and is dependent on the student:
- maintaining satisfactory progress on the programme of research
  - being in good financial standing with the University
- 12 Students' registration may also be terminated under the University's Procedures for Expulsion on Academic Grounds or the Code of Student Discipline.
- 13 If students are prevented from continuing their study by illness or other mitigating circumstances, a formal request for the registration to be suspended must be submitted for approval by the Faculty Research Degrees Committee.
- 14 Students wishing to change their mode of study or supervisory arrangements must apply either at the time of the annual monitoring process (see paragraphs 24 - 27) or by a separate recommendation made to the Faculty Research Degrees Committee. The required completion date will be amended pro rata.
- 15 In exceptional circumstances, a student's period of registration may be extended *once* for a maximum period of one year if the application for an extension is made to the Faculty Research Degrees Committee before the maximum registration period has expired.
- #### **Normal period of registration**
- 16 Students registered for a MPhil should normally have presented their thesis for examination within two years from initial registration if they are studying full-time OR four years from initial registration if they are studying part-time

### **Maximum period of registration**

17 Students registered for a MPhil must have presented their thesis for examination within:

- three years from initial registration if they are studying full-time
- six years from initial registration if they are studying part-time

### **Minimum period of registration**

18 The minimum period of registration is one year for full time students and two years for part time students

## **TRAINING PROGRAMME FOR RESEARCH STUDENTS**

19 The University expects all research students to undertake an agreed programme of research training. The initial programme will be discussed by the Director of Studies and the student and submitted to the FRDC for approval as part of the application for registration.

20 The Director of Studies will review the training needs of each research student during the annual monitoring process (see paragraphs 24 - 27).

21 Students are required by Faculties to compile a record of all research training undertaken.

22 Failure to complete the agreed training programme will result in registration being reviewed by the Faculty Research Degrees Committee. The review may result in a recommendation to the University Research Degrees Committee for the registration to be terminated.

23 As part of a student's training, prior to the submission of the assessment arrangements for approval, students must be given the opportunity to undergo a practice oral examination with an independent assessor and provided with informal feedback on their performance.

## **MONITORING OF PROGRESS**

### **Annual monitoring of progress**

24 The student must be informed of the planned date and nature of the annual monitoring process. It is a condition of continued registration that a satisfactory progress report is received annually.

25 The main purposes of the monitoring will be to ensure that:

- the research is progressing at a satisfactory pace
- the planned personal training programme is being, or has been, completed
- any required changes to the supervisory arrangements, the student's mode of attendance or the nature of the proposed research programme, including the title, are identified and submitted for approval
- to provide formal feedback to students on their progress and give them an opportunity to highlight any difficulties experienced.

- 26 The Faculty Research Degrees Committee will consider the annual reports and provide a summary progress report, including any areas of concern and its action plan to address them, to the University Research Degrees Committee.
- 27 Exceptionally, a student who is registered for a MPhil, but has not been assessed for the award, may apply for admission to a PhD. This application should normally be made before half of the registration period for the MPhil has expired and should follow the same process as required for the initial confirmation of registration of PhD students. The request would require approval by the University Research Degrees Committee.

## **ASSESSMENT PROCESS**

- 28 The assessment of a candidate for an MPhil has two elements
- the thesis or its equivalent, including other approved examinable material
  - its defence in an oral examination.
- 29 The arrangements for the assessment of a candidate will be submitted to the Faculty Research Degrees Committee for approval, including:
- the final title of the thesis
  - the names of the internal and external examiners
  - the form of the submission
- 30 The Faculty Research Degrees Committee will submit the examination arrangements including the cv's of the proposed internal and external examiners to the University Research Degrees Committee for ratification; exceptionally this may be done by Chair's action.
- 31 The oral examination will normally be held within three months of the submission of the material to be assessed.
- 32 The thesis and the oral examination will be in English unless otherwise approved by the University Research Degrees Committee.
- 33 Once the examination arrangements have been approved, candidates must have no contact with any of their external examiners.

### **Assessment panel**

- 34 Each candidate must be examined by an assessment panel of at least two, and, normally, not more than three examiners.
- 35 There must be at least one external examiner and one internal examiner. Where the candidate is a member of Kingston University staff two externals must be appointed in addition to an internal.
- 36 At least one of the examiners must have experience of examining research degree candidates at a comparable level.
- 37 Candidates' supervisors cannot be appointed as examiners.
- 38 The Faculty Research Degrees Committee will appoint an Independent Chair.

### **Exceptional arrangements**

- 39 All exceptional assessment arrangements must be approved by the University Research Degrees Committee, for example, the submission of the thesis in a language other than English OR an assessment method other than an oral examination
- 40 All changes to the approved assessment arrangement must be agreed by the Faculty Research Degrees Committee and ratified by the University Research Degrees Committee.

### **Submission of the thesis**

- 41 The thesis must be submitted in the required format, including word limits AND normally, before the student's period of registration has expired
- 42 Any thesis submitted as part of a successful award of a research degree will be lodged with the University Library. An application for a thesis to remain confidential (normally for a period of two years) must be made to the Faculty Research Degrees Committee and ratified by the University Research Degrees Committee when the examination arrangements are submitted.

*Note: Certain types of submission, eg. of artefacts or creative work, may be retained by the University in another environment, if appropriate.*

- 43 Normally, a thesis submitted for a research award should not contain any material that has been previously submitted for an award at an institute of Higher Education either in the UK or overseas. When submitting the thesis, the candidate must confirm, by completing a Declaration form, that no part of the thesis has been submitted for a comparable academic award except in cases detailed below.
- 44 In cases where a thesis contains a proportion of material that has been submitted for a previous award, the nature and proportion of work must be clearly stated in the Declaration form and appropriate reference made in the thesis. In these cases, the University Research Degrees Committee shall have the authority to decide whether or not to approve the submission of the thesis for examination. The Committee must be satisfied that there is sufficient new material in the thesis to warrant consideration for the award.

### **Assessment of the thesis**

- 45 Each examiner shall consider the thesis independently and submit a brief report indicating one of the following:
- the content of the thesis warrants consideration for the MPhil award and the oral examination should be held
  - the content of thesis is not of a satisfactory standard to be considered for the MPhil award and the oral examination should not be held (see paragraph 47)
- 46 If there is no initial agreement that the oral examination should proceed, the examiners will be informed and asked to reach a consensus. If this cannot be achieved, the oral examination will be held.
- 47 If the consensus view is that the thesis is so unsatisfactory that the oral examination should not proceed, the examiners will be asked to provide a report outlining the deficiencies of the thesis and recommending one of the following:
- the candidate be allowed to resubmit, in which case the candidate and the Director of Studies will be informed of the failure and given detailed advice about the requirements for resubmission

- the candidate should not be allowed an opportunity for reassessment

### **Oral examination**

48 The oral examination will normally be held at the University. Approval to hold the examination elsewhere must be obtained from the University Research Degrees Committee.

49 All examiners must participate in the oral examination.

50 Following the oral examination, the examiners shall be asked to provide a joint recommendation indicating one of the following:

- the candidate has reached the required standard and should be awarded the MPhil
- the candidate has reached the required standard and should be awarded the MPhil subject to amendments to the thesis by a specified date (normally three months)
- the candidate has failed to reach the required standard for the degree, but should be permitted one further assessment opportunity. This can be defined as:
  - re-submission of the thesis and its defence in a second oral examination (normally within one year)
  - re-submission of the thesis only (normally within one year)
  - undertaking a second oral examination with no significant change to the thesis
- the candidate has failed to reach the standard for the degree and should not be offered an opportunity for reassessment.

### **Disagreement between examiners**

51 If the examiners are unable to reach a consensus view, the University Research Degrees Committee may:

- accept the recommendation of the majority of the examiners provided it includes at least one external examiner
- accept the recommendation of the external examiner even if it is not the majority view
- require the appointment of a new external examiner to conduct both stages of the assessment process and make an independent recommendation to the University Research Degrees Committee

## **FAILURE AND REASSESSMENT**

52 A candidate may be reassessed on one occasion only. The form of the re-assessment shall be stipulated by the University Research Degrees Committee in the light of the examiners' recommendations.

53 Following the completion of the reassessment, the examiners' recommendations will be one of the following:

- that the candidate has reached the required standard and may be conferred with the MPhil
- that the candidate has reached the required standard and should be conferred with the MPhil subject to amendments to the thesis by a specified date (normally three months)
- that the candidate has failed to reach the standard for the degree and can be permitted no further opportunity for reassessment.

## Section 3

### REGULATIONS FOR THE AWARD OF DOCTOR OF PHILOSOPHY (PhD)

*These regulations should be read in conjunction with the University's Academic Regulations and General Regulations, all of which apply. See Information for Staff and the Research Student Handbook for further guidance.*

#### THE STANDARD OF THE AWARD

- 1 The standard of the PhD is that expected of a good honours graduate who has:
  - satisfactorily completed an agreed programme of research training
  - critically investigated and evaluated an approved topic, resulting in a substantial independent and original contribution to knowledge, commensurate with the normal period of registration
  - presented and defended a thesis to the satisfaction of the examiners

#### ENTRY REQUIREMENTS FOR APPLICANTS

- 2 The normal minimum requirement for admission to the PhD is either a postgraduate Masters degree in a discipline that is appropriate to the proposed research programme or a first or upper second class honours degree or equivalent in a subject appropriate to the proposed programme of study. Admission will be provisional and subject to confirmation at the initial monitoring stage.
- 3 Applicants whose first language is not English will be required to provide evidence of an English Language qualification (IELTS score of 7 or equivalent is recommended).

#### **Non-standard entrants**

- 4 Exceptionally, an applicant without these minimum qualifications may be considered for entry. For example, the Head of School and Director of Studies may consider an applicant with relevant professional qualifications and experience where these provide sufficient evidence of potential to complete the degree programme satisfactorily. In such cases, the application for registration must be approved by the Faculty Research Degrees Committee and referred to the University Research Degrees Committee for ratification.

#### **Admission with advanced standing**

- 5 Students who are registered for a PhD at another comparable institution may apply for admission with advanced standing. To be eligible for consideration by the Faculty Research Degrees Committee, the applicant must be prepared to register at Kingston University for at least one year (or two years, if part-time) prior to the date of the final submission of the thesis. Admission may be subject to the completion of an agreed programme of research training.

## THE PROGRAMME OF RESEARCH

- 6 A programme of research may be in any field of study provided that the programme is capable of leading to scholarly research, which may include appropriate creative work and can be assessed by the presentation of a thesis and an oral examination.
- 7 A programme of research must have an identified Director of Studies who will act as the primary supervisor. There must be at least one, and normally not more than two additional supervisors, who should be nominated as part of the application for provisional registration. Normally, the Director of Studies will work with the applicant to prepare the initial outline of the proposed programme of research.

### Collaboration

- 8 The University encourages collaboration with outside institutions and organisations. Where a research student is working in a collaborative arrangement, evidence must be appended to the application for provisional registration giving details of the nature of the arrangement. In cases where Kingston University requires additional physical or staffing resources to support a programme of research, suitable collaborative arrangements may be proposed, and will require the approval of the University Research Degrees Committee.

*Note: Advice on collaborative arrangements is available from Academic Registry.*

### Externally funded research

- 9 Where the proposed programme is part of an externally funded project, there must be appropriate safeguards to ensure that the terms of the contract will not prevent the fulfilment of the objectives of the proposed research programme.

### Group projects

- 10 Where the proposed programme is part of a larger group project, there must be clear evidence to show how the individual programme is distinct and separate in its aims and objectives from both the overall project and any other research programmes in the same field of study.

## REGISTRATION

- 11 Students will be provisionally registered for a PhD when:
- the application for provisional registration, including an outline programme of research, has been approved by the appropriate Faculty Research Degrees Committee
  - any exceptional arrangements have been approved by the University Research Degrees Committee
  - the enrolment process has been completed
- 12 Students' registration for a PhD will be confirmed once the initial monitoring process has been successfully completed.
- 13 Registration is reconfirmed annually and is dependent on the student:
- maintaining satisfactory progress on the programme of research
  - being in good financial standing with the University
- 14 Students' registration may also be terminated under the University's Procedures for Expulsion on Academic Grounds or the Code of Student Discipline.

- 15 If students are prevented from continuing their study by illness or other mitigating circumstances, a formal request for the registration to be suspended must be submitted for approval by the Faculty Research Degrees Committee.
- 16 Students wishing to change their mode of study or supervisory arrangements must apply either at the time of the annual monitoring process or by a separate recommendation being made to the Faculty Research Degrees Committee. Their required completion date will be amended pro rata.
- 17 In exceptional circumstances, the students' period of registration may be extended once, by up to a maximum period of one year, if the application for an extension is made to the Faculty Research Degrees Committee before the maximum registration period has expired.

**Normal period of registration**

- 18 Students registered for a PhD should normally have presented their thesis for examination within three years from initial registration if they are studying full-time OR six years from initial registration if they are studying part-time

**Maximum period of registration**

- 19 Students registered for a PhD must have presented their thesis for examination within four years from initial registration if they are studying full-time OR eight years from initial registration if they are studying part-time

**Minimum period of registration**

- 20 The minimum period of registration is one year for full time students and two years for part time students

**TRAINING PROGRAMME FOR RESEARCH STUDENTS**

- 21 The University expects all research students to undertake an agreed programme of research training. The initial programme will be discussed by the Director of Studies and the student and submitted to the FRDC for approval as part of the application for provisional registration. Possible exemptions from particular training elements will also be agreed at this time.
- 22 The Director of Studies will review the training needs of each research student during the annual monitoring process
- 23 Students are required by Faculties to compile a record of all research training undertaken.
- 24 Failure to complete the agreed training programme will result in registration being reviewed by the Faculty Research Degrees Committee. The review may result in a recommendation to the University Research Degrees Committee for the registration to be terminated.
- 25 As part of a student's training, prior to the submission of the assessment arrangements for approval, students must be given the opportunity to undergo a practice oral examination with an independent assessor and provided with informal feedback on their performance.

## **MONITORING OF PROGRESS**

### **Initial monitoring and confirmation of registration**

- 26 As part of the registration process, students must be informed of the date of the first occasion on which progress will be monitored. This must take place within the first year of registration.
- 27 The main purposes of the first monitoring process are to ensure that: the personal programme of research training is adequate to students' needs; the proposed research is at the requisite level and is likely to lead to a significant contribution to knowledge
- 28 Students will be required to submit supporting documentation to the Faculty Research Degrees Committee. On the basis of the documentation, the Faculty Research Degrees Committee will then recommend one of the following to the University Research Degrees Committee:
- that the student's registration for a PhD should be confirmed
  - that the student's registration may be confirmed subject to some modifications being completed by an agreed date
  - that the supporting documentation does not provide evidence of planned research of the required standard for a PhD. In this case, credit may be given for the personal training completed on the PhD and consideration given to admitting the student to the MPhil with advanced standing. This will require approval by the University Research Degrees Committee
  - that the registration should not be confirmed and the student's enrolment terminated

### **Subsequent annual monitoring**

- 29 Once the first annual monitoring process has been completed satisfactorily, students must be informed of the planned date and nature of the subsequent annual monitoring processes. It is a condition of continued registration that a satisfactory progress report is received annually.
- 30 The main purposes of the monitoring will be to ensure that:
- the research is progressing at a satisfactory pace
  - the planned personal training programme is being, or has been, completed
  - any required changes to the supervisory arrangements, the student's mode of attendance or the nature of the proposed research programme, including the title, are identified and submitted for approval
  - to provide formal feedback to students on their progress and give them an opportunity to highlight any difficulties experienced

- 31 The Faculty Research Degrees Committee will consider the annual reports and provide a summary progress report on its students, including any areas of concern and its action plan to address them, to the University Research Degrees Committee.

## **ASSESSMENT PROCESS**

- 32 The assessment of candidates for a PhD has two elements: the thesis or its equivalent, including other approved examinable material and its defence in an oral examination

- 33 The arrangements for the assessment of a candidate will be submitted to the Faculty Research Degrees Committee for approval, including: the final title of the thesis; the names of the internal and external examiners (the assessment panel); the form of the submission
- 34 The Faculty Research Degrees Committee will submit the examination arrangements including cv's of the proposed internal and external examiners to the University Research Degrees Committee for ratification. Exceptionally this can be done by Chair's action.
- 35 The oral examination will normally be held within three months of the submission of the material to be assessed.
- 36 The thesis and the oral examination will be in English unless otherwise approved by the University Research Degrees Committee.
- 37 Once the examination arrangements have been approved, candidates must have no contact with any of their external examiners.

#### **Assessment panel**

- 38 Each candidate must be examined by an assessment panel of at least two, and, normally not more than three examiners.
- 39 There must be at least one external examiner and one internal examiner. Where the candidate is a member of Kingston University staff two externals must be appointed in addition to an internal.
- 40 At least one of the examiners must have experience of examining research degree candidates at a comparable level.
- 41 Candidates' supervisors cannot be appointed as examiners.
- 42 The Faculty Research Degrees Committee will appoint an Independent Chair.

#### **Exceptional arrangements**

- 43 All exceptional assessment arrangements must be approved by the University Research Degrees Committee. For example: the submission of the thesis in a language other than English; an assessment method other than an oral examination.
- 44 All changes to the approved assessment arrangement must be agreed by the Faculty Research Degrees Committee and ratified by the University Research Degrees Committee.

#### **Submission of the thesis**

- 45 The thesis must be submitted: in the required format, including word limits; normally, before the candidate's period of registration has expired
- 46 Any thesis submitted as part of a successful award of a research degree will normally be lodged with the University Library. An application for a thesis to remain confidential must be made to the Faculty Research Degrees Committee and University Research Degrees Committee when the examination arrangements are submitted. The period a thesis may remain confidential is normally two years.

*Note: Certain types of submission, eg. of artefacts or creative work, may be retained by the University in another environment if appropriate.*

- 47 Normally, a thesis submitted for a research award should not contain any material that has been previously submitted for an award at an institute of Higher Education either in the UK or overseas. When submitting the thesis, the candidate must confirm, by completing a Declaration form, that no part of the thesis has been submitted for a comparable academic award *except* in cases detailed below.
- 48 In cases where a thesis contains a proportion of material that has been submitted for a previous award, the nature and proportion of work must be clearly stated in the Declaration form and appropriate reference made in the thesis. In these cases, the University Research Degrees Committee shall have the authority to decide whether or not to approve the submission of the thesis for examination. The Committee must be satisfied that there is sufficient new material in the thesis to warrant consideration for the award.

#### **Assessment of the thesis**

- 49 Each examiner shall consider the thesis independently and submit a brief report indicating one of the following
- the content of the thesis warrants consideration for the PhD award and the oral examination should be held
  - the content of thesis is not of a satisfactory standard to be considered for the PhD award (see paragraph 51)
- 50 If there is no initial agreement that the oral examination should proceed, the examiners will be informed and asked to reach a consensus. If this cannot be achieved, the oral examination will be held.
- 51 If the consensus view is that the thesis is so unsatisfactory that the oral examination should not proceed, the examiners will be asked to provide a report outlining the deficiencies of the thesis and recommending one of the following:
- the candidate be allowed to resubmit, in which case the candidate and the Director of Studies will be informed of the failure and given detailed advice about the requirements for resubmission
  - the candidate should not be allowed an opportunity for reassessment

#### **Oral examination**

- 52 The oral examination will normally be held at the University. Approval to hold the examination elsewhere must be obtained from the University Research Degrees Committee.
- 53 All examiners must participate in the oral examination.
- 54 Following the oral examination, the examiners will be asked to provide a joint recommendation to the University Research Degrees Committee (in its capacity as Examination Board) indicating one of the following:
- the candidate has reached the required standard and should be awarded the PhD
  - the candidate has reached the required standard and should be awarded the PhD subject to amendments to the thesis by a specified date (normally three months)
  - the candidate has failed to reach the required standard for the degree, but should be permitted one further assessment opportunity. This can be defined as:

- resubmission of the revised thesis and its defence in a second oral examination (normally within one year)
- resubmission of the revised thesis without a further oral examination (normally within one year)
- a second oral examination without significant change to the thesis
- the candidate has failed to reach the standard for the degree and should not be offered an opportunity for reassessment.

**Disagreement between examiners**

55 If the examiners are unable to reach a consensus view, the University Research Degrees Committee may:

- accept the recommendation of the majority of the examiners, provided it includes at least one external examiner
- accept the recommendation of the external examiner even if it is not the majority view
- require the appointment of a new external examiner to conduct both stages of the assessment process and make an independent recommendation to the University Research Degrees Committee

**FAILURE AND REASSESSMENT**

56 Candidates may be reassessed on one occasion only. The form of the re-assessment will be stipulated by the University Research Degrees Committee, in its capacity as Examination Board, in the light of the examiners' recommendations.

57 Following the completion of the reassessment, the examiners' recommendations must be one of the following:

- the candidate has reached the required standard and should be awarded the PhD
- the candidate has reached the required standard and should be awarded the PhD subject to amendments to the thesis by a specified date (normally three months)
- the candidate has failed to reach the standard for the degree and there will be no opportunity for further reassessment

## Section 4

### DOCTOR OF PHILOSOPHY BY SUBMISSION OF A PORTFOLIO OF PUBLISHED WORKS

- 1 Current and recently-retired Members of University staff may submit a portfolio of their published works, for consideration for the award of PhD.
- 2 Staff who wish to undertake such a submission must be sponsored by their Dean and a senior member of academic staff from another faculty.
- 3 Applications will be considered initially by the Faculty Research Degrees Committee.
- 4 The Head of School shall appoint a permanent member of academic staff to act as nominal Director of Studies. If the candidate is eventually successful in obtaining the PhD degree, the Director of Studies (in this case) will not be credited with a successful completion under his/her supervision.
- 5 The work submitted must, in aggregate, be broadly comparable in quality and quantity to that expected to be embodied in a PhD thesis in the same discipline.
- 6 The bound portfolio of works must be prefaced by an introductory section that explains the unifying themes that run through the research, and places the works in the context of existing work in the field and the applicant's research career. The introductory section should be approximately 10,000 words in length.
- 7 In cases where the works are jointly authored by the applicant and other persons, the introductory section should also describe the roles played by those joint authors, and contain percentage estimates of the applicant's input into each jointly authored work.
- 8 Initial submission of the portfolio will be made to the RDC, which will convene a special sub-committee to determine whether there is a prima facie case for examination of the portfolio for the degree of PhD.
- 9 If approved by the sub-committee in 7, final submission of the portfolio and examination arrangements will be made under the same regulations as for a PhD thesis, except that two external and one independent internal examiner will be appointed.
- 10 The regulations governing examination of PhD theses shall apply to the examination of the portfolio, except that the examiners' recommendations shall be limited to those in paragraph 11.
- 11 Following the examination (including any oral examination), the examiners must make a joint recommendation of either:
  - i. that the award of the degree of PhD should be made
  - ii. that the candidate be allowed to resubmit the portfolio with a revised introductory section; or
  - iii. that the material submitted in the portfolio falls short of the requirements, and the degree should not be awarded

- 12 In the case of recommendation 11 ii, the candidate must be provided with written guidelines on the additional material required and/or corrections to be made to the introductory section. In the case of recommendation 11 iii, the candidate will be informed that no further submission of this portfolio will be accepted for consideration for the award of PhD.