

Regulations for the Award of the Degrees of
Master of Philosophy and
Doctor of Philosophy 2011/12

October 2011

All sections of this document, including the annexes and forms, are available on-line. Please visit Westminster Research Students' Blackboard site or the website address below:

<http://www.westminster.ac.uk/research/rs/key-documents>

THE UNIVERSITY OF WESTMINSTER
Regulations for the Award of the University's Degrees
of
Master of Philosophy
and
Doctor of Philosophy

Effective from 1st October 2011

Contents	Page
1. Principles	4
2. Application to register for a research degree	6
3. Requirements & conditions of registration for a research degree	9
4. Collaborations	11
5. The registration period	12
6. Supervision	14
7. Transfer of Registration from Master of Philosophy to Doctor of Philosophy	15
8. Examinations – general	17
9. Examination procedures	19
10. The candidate's responsibilities in the examination process	20
11. Examiners	21
12. First examination	22
13. Re-examination	25
14. Thesis (see also Annexe E)	27
15. Review of an examination decision	28
16. Review of a Decision to Withdraw a Research Degree Registration or Discontinue Enrolment	30
17. Special Regulations for the Award of MPhil and PhD by Published Work	33
Annexe A The University Research, Enterprise and Knowledge Transfer Committee: Composition & Terms of Reference	37
Annexe B List of the University's Research Degree Forms	39
Annexe C External Research Degree Study (ERDS) Scheme	40
Annexe D Writing-Up Fee Status	43
Annexe E Thesis Format Requirements	44
Annexe F Procedure to Address Unsatisfactory Performance in Research Degree Candidates	48
Annexe G Ethics Approval Procedure for Research Degree Candidates	53

1. Principles

1.1. The University of Westminster (hereinafter referred to as 'the University') shall award the degrees of Master of Philosophy (MPhil) and Doctor of Philosophy (PhD) to registered candidates who successfully complete approved programmes of supervised research.

1.2. The regulations governing the award of the degrees of Master of Philosophy and Doctor of Philosophy are interrelated and interdependent, and each regulation must therefore be viewed within the context of this regulatory framework. These individual regulations should be read in conjunction with the *University of Westminster Code of Practice for Research Degree Programmes: October 2011* and the *Guidelines for Research Degree Students: October 2011*.

1.3. Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation in a thesis for assessment by appropriate examiners within the maximum period of registration allowed (see Section 5 below).

1.4. The University will admit only those candidates who are sufficiently capable, qualified and diligent to achieve a successful completion within the maximum period of registration. The scope of the project shall be such that it shall be achievable in this time by such a candidate.

1.5. Following admission, a research degree candidate shall maintain an adequate rate of progress in their work to ensure a timely completion. Where the rate of progress falls short of that required for a timely completion, progress will be deemed to be unsatisfactory.

1.6. All proposed research programmes shall be considered for research degree registration on their academic merits and without reference to the concerns or interests of any associated funding body.

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

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

1.9. The degrees of Master of Philosophy and Doctor of Philosophy shall be available only to fully enrolled students of the University of Westminster. Continuing enrolment with the University, including the fulfilment of all enrolment requirements and payment of tuition fees where appropriate, is a condition of registration for and continuing registration for a research degree. In enrolling at Westminster, research degree candidates shall confirm their willingness to abide by these regulations, the Code of Practice for Research Degree Programmes and all applicable policies and guidelines.

1.10. All research degree students of the University of Westminster both new and continuing shall be subject to these *Regulations* as well as to the provisions of the Code of Practice for Research Degree Programmes, the Code of Research Good Practice, the Code of Practice Governing the Ethical Conduct of Research and, the Intellectual Property Policy

2. Application to Register for a Research Degree

2.1. Applicants for research degree registration must enrol as students of the University and pay the appropriate fee before their Application to Register may be processed.

2.2. A student may apply to register, by completing the appropriate form (see Annexe B), for the degree of:

- a) Master of Philosophy (MPhil); or
- b) Doctor of Philosophy via transfer from Master of Philosophy (MPhil/PhD); or
- c) Doctor of Philosophy (PhD Direct).

2.3. Candidates for research degrees are required to submit their Application to Register, signed by the supervisors, School Research Director and Dean of School, to the Research Office, not later than four months from the date of first enrolment for full-time students or six months for part-time students. Candidates failing to do so may be subject to University procedures for managing unsatisfactory performance in research degree students which may ultimately lead to the discontinuation of enrolment. Where a student has not registered their degree within one calendar year of initial enrolment, the University may refuse to re-enrol the student. Please refer to Annexe F for further information.

2.4. The University has a Corporate and Social Responsibility Committee and a Research Ethics Sub Committee which implement a *Code of Practice Governing the Ethical Conduct of Research 2009* with which all members of the University, both staff and students are required to comply [available at <http://www.westminster.ac.uk/research/rs/key-documents>]. In accordance with the Ethics Code, it is the responsibility of the supervisors and the research degree candidate to identify and to declare any ethical dimensions of the research which may be prevalent at registration or which may arise later in the registration period. Where ethical dimensions are identified and occur at the start of the study, the Application to Register shall not receive formal and final approval from the University Research, Enterprise and Knowledge Transfer Committee (REKTC) until such time as the Research Ethics Sub-Committee (or any relevant external Ethics approval body) grants ethical approval to the proposed research. Candidates should refer to the Ethics Approval Procedure for Research Degree Candidates at Annexe G to these regulations.

2.5. Current guidance on IPR and copyright in relation to the work of registered research degree students can be obtained from Huzma Kelly, Senior Research Officer, Research Office.

2.6. The Application to Register must have the endorsement of the candidate's supervisors, the School Research Director and the Dean of School before submission for approval by the Research, Enterprise and Knowledge Transfer Committee (REKTC) - please refer to Annexe A for the Composition and Terms of Reference of the REKTC. The endorsement of the candidate's supervisors may be given only where the supervisors are satisfied that the candidate's Application to Register is of the necessary quality and standard to result in a successful and timely PhD or MPhil completion.

2.7. Formalisation of the registration may only take place following approval by the REKTC of the Academic Council acting on behalf of the University. In approving an application for registration, the REKTC shall satisfy itself:

- a) of the suitability of the candidate to undertake research;
- b) that the candidate is embarking on a viable research programme;
- c) that supervision is adequate and likely to be sustained;
- d) that the University is able to provide appropriate facilities and resources for the conduct of scholarly research in the area of the research programme;
- e) that taking into account considerations (a) – (d) above, the project is capable of completion within the maximum period of registration.

2.8. An applicant for registration for the degree of MPhil or PhD via transfer from MPhil shall normally hold an Upper Second Class Honours degree from a UK university (or a qualification which is regarded by the REKTC as equivalent to such an Honours degree, including overseas qualifications) and, preferably, a Masters degree. An applicant whose secondary-level education has not been conducted in the medium of English should also demonstrate evidence of appropriate English language proficiency, normally defined as minimum IELTS scores of 6.5 (Overall Band Score) with not less than 6 in any of the individual elements, or equivalent.¹

2.9. Research degree candidates shall be admitted to the University **on the understanding that their enrolment will be on the route MPhil with possible transfer to PhD**. Only in the most exceptional circumstances and on the basis of a detailed case presented to the REKTC by the Director of Studies and endorsed by the School Research Director prior to admission will a candidate be permitted to enrol on the route PhD Direct. Exceptional circumstances shall be defined by the University but might include the possession of a Master of Philosophy degree; evidence of substantial research or professional experience which has resulted in publications, reports or other appropriate evidence of accomplishment; or equivalent. The decision as to which route a candidate should be enrolled upon shall be the decision of the University.

2.10. Similarly, candidates will only be permitted to **register** for the degree of PhD Direct in exceptional circumstances as defined above. Any Application to the REKTC for registration for PhD Direct must be supported by a detailed case presented by the Director of Studies and endorsed by the School Research Director, which must clearly state the grounds upon which PhD Direct registration is sought and shall be subject to the approval of the REKTC.

2.11. An applicant whose work forms part of a larger group project may register for a research degree. In such cases each individually registered candidate shall have a project that in itself can be distinguishable for the purposes of assessment and be appropriate for the award being sought. The Application to Register shall indicate clearly each individual contribution and its relationship to the group project.

2.12. Where a research degree project is part of a piece of funded research, the REKTC shall establish to its satisfaction that the terms on which the research is funded do not

¹ For further information on the University's English Language policies for research degree students, including equivalence with testing systems other than IELTS, please refer to the Code of Practice for Research Degree Programmes.

detract from the fulfilment of the objectives and requirements of the candidate's research degree.

2.13. The REKTC may approve an application from a person proposing to work outside the UK, including persons enrolled under the External Research Degree Study Scheme (see Annex C) and provided that:

- a) there is satisfactory evidence to confirm the appropriateness of facilities available for the research both in the University and abroad; and
- b) the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) based in the UK, including adequate face-to-face contact with the supervisor(s). The candidate should normally spend an average (over the entire registration period) of two months per year at the University (or longer, where specified by the School where the candidate is enrolled).

2.14. Registration may be backdated by up to six months from the date of receipt of the Application to Register by the Research Office of the Academic Services Department. Longer periods of backdating may be permitted exceptionally at the discretion of the REKTC.

2.15. Where a candidate has previously undertaken research as a registered student for a research degree, the REKTC may approve a shorter than usual registration period which takes account of all or part of the time already spent by the candidate on such research.

2.16. Where it is discovered that false information has been presented in support of an Application to Register, the application shall be declared null and void by the Academic Registrar or nominee.

3. Requirements and Conditions of Registration for a Research Degree

3.1. Within the framework of the University's Research Training Programme, candidates for registration for a research degree will be required to undertake appropriate research training which shall be specified and monitored by the Director of Studies using the Skills Training Log. An outline of the training and development activities will be set out in the Application to Register and reviewed through the Application to Transfer, as well as being regularly monitored through the Skills Training Log and the Annual Progress Review. The purpose of the training activities is:

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

3.2. Where the programme of related studies includes an approved programme of studies leading to another award and a candidate is registered for that programme and fulfils all its requirements, he/she may be recommended for that award in addition to the degree of MPhil or PhD (see also paragraph 3.6).

3.3. Subject to approval by the REKTC through the Application to Register process, a candidate may undertake a programme of research as follows:

- a) in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. The creative work may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme. The creative work shall be clearly presented in relation to the argument of a written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see paragraphs 14.4 and 14.6). The final submission shall be accompanied by a permanent record (for instance, video, photographic record, musical score, diagrammatic representation) of the creative work, where practicable, bound with the thesis.
- b) in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts. The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which sets the text in the relevant historical, theoretical or critical context and shall conform to the usual scholarly requirements and be of an appropriate length (see Annexe E: Thesis Format Requirements).

In respect of both a) and b) above, the Application to Register shall clearly set out the form of the candidate's submission and at the time of approval, the REKTC shall specifically approve an appropriate assessment method for the submission.

3.4. Other than where exceptional permission has been given for the thesis and the oral examination to be in another language, the REKTC shall satisfy itself that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English (See also Paragraph 2.8). Permission to present a thesis in another language shall normally be sought at the time of application for registration. Permission to present a thesis in a language other than English shall normally only be given if the subject matter of the thesis involves extensive study in or of another language.

3.5. A candidate may register on a full-time or a part-time basis, depending on the chosen subject area. A full-time candidate shall normally devote, on average, at least 35 hours per week to the research; a part-time candidate on average at least 15 hours per week in a calendar year.

3.6. Subject to approval by the REKTC, a candidate may register for another course of study concurrently with the research degree registration, provided that either the research degree registration or the other course of study is by part-time study and that, in the opinion of the REKTC, the dual registration will not detract from the research (see also paragraph 3.2).

3.7. As a condition of the award of the degree, a copy of the thesis will be lodged in the University library and an electronic copy stored in WestminsterResearch (the University's online repository), unless an exemption is granted under 3.8.

3.8. Where a candidate, the University or a sponsor wishes the thesis or part of the thesis to remain confidential for a period of time after completion of the work, approval from REKTC should be obtained before registration.

Note: The REKTC may approve applications for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material, but not usually to protect research leads. The maximum period of confidentiality is normally two years, but, exceptionally, a longer period may be approved. In order to prevent delays in awarding degrees, candidates and their supervisors are advised to consider possible exemption from publication at an early stage. Late applications for exemption must be made at the earliest date possible and the reasons for the delay explained.

4. Collaborations

4.1 The University shall encourage co-operation with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards. Such co-operation shall be intended:

- a) to encourage outward-looking and relevant research;
- b) to extend the candidate's own experience and perspectives of the work;
- c) to provide a wider range of experience and expertise to assist in the development of the project;
- d) to be mutually beneficial.

4.2 Co-operation may be formalised with one or more bodies external to the University. For the purpose of the Research Degree Regulations these shall be referred to as Collaborating Establishments. Formal collaboration shall normally involve the candidate's use of facilities and other resources, including supervision, which are provided jointly by the University and the Collaborating Establishment.

4.3 Except where formal collaboration is an integral part of an approved documented award for the project (for example, OST Research Council awards and Knowledge Transfer Partnerships), a candidate wishing to engage in a formal collaboration must submit a letter from the Collaborating Establishment confirming the agreed arrangements with the Application to Register for the research degree.

Note: The agreed arrangements should take into account the University's open access publishing policies, which require that an electronic copy of the thesis is stored in WestminsterResearch, the University's online repository, except where provision for confidentiality has been approved (see paragraphs 3.8 and 14.7). The name(s) of the Collaborating Establishment(s) will appear on the candidate's thesis and degree certificate.

5 The registration period

5.1 There is a minimum and maximum period of registration prescribed for research degrees. A candidate shall not be permitted to submit his or her thesis for examination either before the expiry of the minimum period, or after the expiry of the maximum period of registration, except with the specific permission of the REKTC as provided for in paragraphs 5.3 or 5.8.

5.2 The minimum and maximum periods of full-time and part-time registration shall normally be as set out below:

FULL-TIME STUDY		
Degree Registration	Minimum Period of Registration Permitted	Maximum Period of Registration Permitted
MPhil	18 months	36 months
PhD Direct	24 months	48 months
PhD via MPhil	33 months (transfer to PhD must have taken place by this point)	48 months (incl. period of MPhil/PhD registration)

PART-TIME STUDY		
Degree Registration	Minimum Period of Registration Permitted	Maximum Period of Registration Permitted
MPhil	30 months	60 months
PhD Direct	36 months	96 months
PhD via MPhil	45 months (transfer to PhD must have taken place by this point)	96 months (incl. period of MPhil/PhD registration)

5.3 Where there is evidence that the research is proceeding exceptionally well, the REKTC may approve a shorter minimum period of registration. An application for such a time reduction should be submitted at the same time as the Application for Approval of Examination Arrangements (see also paragraph 9.1).

5.4 Where a candidate changes from full-time to part-time study or vice versa, the minimum and maximum periods of registration given in 5.2 above will apply on a pro rata basis. Application for such a change shall be made on the appropriate form (see Annexe B).

5.5 A candidate seeking a change to a registered research degree programme shall apply in writing to the REKTC for approval, including evidence of new Research Ethics sub-Committee approval where necessary.

5.6 Where ethical issues are identified after registration of the degree, it shall be the responsibility of the Director of Studies and the candidate to follow the procedures set out in Annexe G *Ethics Approval Procedure for Research Degree Candidates*.

5.7 Where the REKTC establishes that a candidate is no longer actively engaged on and/or is not making progress with the research programme and/or is failing to maintain regular and frequent contact with the supervisors, it shall ensure that the University's procedures for managing unsatisfactory performance in research degree candidates are initiated, as set out in Annexe F to these regulations. In accordance with the provisions of Annexe F, such action may result in the withdrawal of the

candidate's registration or the discontinuation of the candidate's enrolment or the debarring of the candidate's re-enrolment. Please see Annexe F for further details.

- 5.8 Where the candidate is prevented, by ill-health or other cause, from making progress with the research, the registration may be suspended by the REKTC, upon formal application from the candidate on the appropriate form (see Annexe B), normally for not more than one year at a time.
- 5.9 The REKTC will not accept the submission of a thesis following the expiry of the registration period.
- 5.10 In exceptional circumstances, the REKTC may extend a candidate's period of registration, normally for not more than one calendar year at a time. A candidate seeking such an extension shall apply on the appropriate form (see Annexe B) prior to the expiry of the registration period. Only in the most exceptional circumstances will further periods of extension be permitted.
- 5.11 Where a registered candidate has discontinued the research, the withdrawal of registration shall be notified to the REKTC on the appropriate form (see Annexe B).
- 5.12 A candidate shall pay such fees as may be determined from time to time by the University.
- 5.13 Where a registered candidate is solely engaged in writing up research already completed, a writing-up fee shall be applicable in place of the University tuition fee. The regulations governing the application of writing-up fee status are contained in Annexe D.

Supervision

- 6.1 By enrolling and subsequently registering the degree, a research degree candidate shall confirm their acceptance of the supervisory role, recognising both that supervision by subject experts is a fundamental and indispensable element in the research degree process and also that in the case of study for a degree solely by research it is primarily with the student that the responsibility lies for managing learning, for determining what is required and for carrying it out to the required timescales, including requirements on the student in relation to research training.
- 6.2 A research degree candidate shall have at least two and normally not more than three supervisors.
- 6.3 At least one supervisor shall have had experience of supervising candidates to the successful completion of a UK research degree (or equivalent). In the case of a PhD, one of the supervisors shall have successfully supervised at PhD level. A supervision team shall normally have had a combined experience of supervising not fewer than two candidates to successful completion. Where appropriate supervisor training has been undertaken in accordance with University policy, one completion may be deemed sufficient.
- 6.4 One supervisor shall be the Director of Studies (first supervisor) who shall normally be a member of the University and who shall be responsible for: the regular and frequent supervision of the candidate; ensuring that a formal record of supervision contact is maintained; ensuring that the candidate is supported and guided in preparation for the academic key stages; monitoring progress using the Research Supervision Log and the Skills Training Log; and providing an Annual Progress Report, including progress in research training.
- 6.5 In addition to the supervisors, an advisor or advisors may be proposed to contribute some specialised knowledge or a link with an external organisation.
- 6.6 A candidate for a research degree registered in this or other university shall normally be ineligible to act as Director of Studies for another research degree candidate but may act as a second supervisor or advisor.
- 6.7 Any proposal to alter existing approved supervision arrangements shall be made to the REKTC on the appropriate form and shall be subject to its approval (see Annexe B).
- 6.8 In the event of a supervisor/s leaving the University's employment, the University will make every effort to establish alternative arrangements for the continuation of the student's programme at the University. Should such arrangements prove impossible to make, the University will use its best endeavours to facilitate the transfer of the candidate elsewhere.

7 Transfer of Registration from Master of Philosophy to Doctor of Philosophy

7.1 A candidate registered initially for PhD via transfer from MPhil shall apply formally to the REKTC using the appropriate form for transfer to PhD (see Annexe B) when he/she has made sufficient progress on the work to provide evidence of the development to PhD.

7.2 Following initial registration for MPhil/PhD the supervisors may conclude in all the circumstances that the research is not capable of successful and timely completion for submission of the award of PhD but is viable as an MPhil. In such cases they shall, with the endorsement of the School Research Director, recommend to the REKTC that the registration be converted to MPhil only. The candidate's agreement is not required for such a recommendation, but the supervisors shall notify the candidate in advance of taking this action. A candidate refusing to accept conversion to MPhil Only registration will be deemed to be failing to make satisfactory progress and the appropriate procedures under Annexe F of these regulations will be initiated.

7.3 The timing of the submission of the Application to Transfer shall be:

For **full-time** students - not earlier than 12 months nor later than 24 months from the start date of the approved registration period for MPhil/PhD;

For **part-time** students - not earlier than 24 months nor later than 48 months from the start date of the approved registration period for MPhil/PhD.

7.4 Where Transfer to PhD is not effected within the deadlines set out in 7.3 above, the candidate will be deemed to be making unsatisfactory progress and the procedures for addressing such performance as set out in Annexe F will normally be initiated.

7.5 The REKTC will seek to satisfy itself that the Application to Transfer demonstrates sufficient progress in the work has been achieved and that evidence is provided of the development from MPhil to PhD. In assessing the Application to Transfer, the REKTC will expect to see such progress demonstrated by evidence of the following:

- work already undertaken;
- development of focus, direction and method of research;
- appropriate technical skills;
- literature review;
- bibliography;
- statement of further work to be undertaken;
- details of the original contribution to knowledge, which is likely to emerge;
- training and personal development activities undertaken through the University Research Training Programme.

7.6 In support of the application, the candidate shall prepare for the REKTC a Progress Report on the work undertaken. The Progress Report should normally be of 3,000 words in length and include:

- a) a brief review and discussion by the candidate of the work already undertaken, with supporting evidence; and
- b) a statement of the intended further work, including details of the original contribution to knowledge, which is likely to emerge.

7.7 Before approving formal transfer from MPhil to PhD, the REKTC shall be satisfied that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion in a timely fashion, defined as completion before the expiry of the registration period for PhD via MPhil (please see 5.2). As part of the assessment of the case for transfer, the candidate will normally be required to undergo a 'Transfer Interview' with a Transfer Panel convened by their School.

7.8 The Transfer Interview will take place before the Application to Transfer (including the Progress Report) is submitted to the REKTC for approval. The Transfer Panel will be chaired by the candidate's School Research Director or nominee, who shall be an appropriate member of staff, and the Transfer Interview shall be attended by the candidate, the supervisor/s and normally the assessor.

7.9 Where, exceptionally, the assessor is unable to be present at the Transfer Interview, an alternative process for the assessment of the transfer application may be proposed by the School Research Director, for approval by the REKTC.

7.10 The Application to Transfer shall have the endorsement of the School Research Director. Where the School Research Director appoints a nominee to chair the Transfer Interview, the nominee shall have delegated authority to endorse the Application to Transfer on behalf of the School.

7.11 A candidate originally registered for the degree of **MPhil only** who wishes to transfer registration to **PhD** may apply to do so by submitting an Application to Transfer to PhD and a Progress Report, for the approval of the REKTC via the procedures described in this section.

7.12 A candidate who is registered for the degree of PhD and who is unable to complete the approved programme of work may apply to the REKTC for the registration to be changed to that for MPhil at any time prior to the submission of the thesis for examination.

7.13 Where, as a result of the Transfer process, it is judged that the research is not capable of successful and timely completion as a PhD (as defined in 7.7 above) the Transfer Panel may recommend to the REKTC that the registration MPhil/PhD shall be converted to MPhil only. A candidate refusing to accept conversion to MPhil Only registration following failure to transfer to PhD will be deemed to be making unsatisfactory progress and the appropriate procedures under Annexe F of these regulations will be initiated.

8 Examinations – general

- 8.1 The examination for the MPhil and PhD shall have two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral or approved alternative (see paragraph 8.3 and paragraph 12.1) examination.
- 8.2 A candidate whose programme of work includes as a requirement formally assessed course work leading to the degree of PhD (see paragraph 3.1) shall not be permitted to proceed to a further stage of the examination, for the degree, until the course work examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis.
- 8.3 A candidate shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where, for reasons of sickness, disability or comparable valid cause, the REKTC is satisfied that a candidate would be seriously disadvantaged if required to undergo an oral examination, an alternative form of examination may be approved (referred to hereinafter as 'the approved alternative examination'). Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.
- 8.4 An oral examination shall normally be held in the UK. In special cases, the REKTC may give approval for the examination to take place abroad.
- 8.5 Supervisors may attend the oral examination with the permission of the candidate and, at the invitation of the examiners, may participate in the discussion but shall withdraw prior to the deliberations of the examiners on the outcome of the examination.
- 8.6 The REKTC shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate. The power to confer the degree shall rest with the Academic Council, whose authority in this respect is delegated to the REKTC.
- 8.7 The degree of MPhil or PhD may be awarded posthumously on the basis of a thesis completed by a candidate, which is ready for submission for examination. In such cases, the REKTC shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place.
- 8.8 Where cheating or plagiarism in the preparation of the thesis is established as a result of the examination, following due process under the University's academic misconduct procedures, the degree shall not be awarded. Where misconduct is established subsequent to the examination, the REKTC shall consider the matter, if necessary in consultation with the examiners, and take appropriate action, which may include the withdrawal of the award.
- 8.9 The REKTC shall ensure that all examinations are conducted and the recommendations of the examiners are presented wholly in accordance with the University's regulations. In any instance where the REKTC is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

- 8.10 Prior to the oral examination, the examiners shall prepare and submit to the University, independent preliminary written reports on the thesis to assist in the conduct of the oral examination (or, where no oral examination is to be held, in the preparation of the joint report).
- 8.11 Following the oral examination, or in very exceptional circumstances where it is agreed through the preliminary reports that the oral examination should not proceed (see Regulation 12.2), a joint report shall be prepared by the examiners for submission to the University. Where examiners are unable to agree on a recommendation, they may submit separate final reports.
- 8.12 Examiners may make comments to the University in a separate report on operational, procedural or quality issues which they wish to bring to its attention.

9 Examination procedures

- 9.1 Approximately three months prior to the proposed date of the oral examination, the Director of Studies shall propose, using the appropriate form (see Annexe B), the arrangements for the candidate's examination for the approval by the REKTC. Where the submission for approval of examination arrangements is received later than three months prior to the proposed date for oral examination, the REKTC may require that the proposed oral examination date be postponed.
- 9.2 The examination may not take place until the examination arrangements have been approved by the REKTC. In special circumstances, the REKTC may act directly to appoint examiners and arrange the examination of a candidate.
- 9.3 The Academic Registrar or nominee shall make known to the candidate the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for examination) and any conditions to be satisfied before the candidate may be considered eligible for examination. The Chair of Examiners (see Section 11) shall notify the candidate, all supervisors and the examiners of the date of the oral examination.
- 9.4 The Academic Registrar or nominee shall send a copy of the thesis to each examiner, together with the examiner's preliminary report form (see Annexe B) and the University's Regulations, and shall ensure that the examiners are properly briefed as to their duties.
- 9.5 The Chair of Examiners shall ensure that all the examiners have completed and returned the preliminary reports to the University before the oral examination.
- 9.6 The Chair of Examiners shall ensure that the oral examination is conducted in a fair and proper manner and provide a report on the conduct of the examination to the REKTC using the form provided (see Annexe B).

10 The candidate's responsibilities in the examination process

- 10.1 Submission of a thesis shall be defined as the submission of the thesis to the University's Academic Registrar or nominee. The candidate shall ensure that the thesis is submitted before the expiry of the registration period. Failure to submit by such time without the specific permission of the REKTC may result in the withdrawal of the candidate's registration.
- 10.2 The submission of the thesis for examination shall be at the sole discretion of the candidate.
- 10.3 The candidate shall satisfy any conditions of eligibility for examination required by the REKTC.
- 10.4 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the examiner(s) between the appointment of the examiners and the oral examination.
- 10.5 Candidates are required to recognise that an adequate period of time is required for the scrutiny of and initial reports on the thesis by the examiners, and should therefore submit the thesis to the Academic Registrar or nominee **at least four weeks** prior to the proposed date of the oral examination.
- 10.6 On submission of the thesis to the Academic Registrar or nominee, the candidate shall confirm, through the submission of a declaration form (see Annexe B), that the thesis has not been submitted for an academic award in this or any other university and that the thesis is the candidate's own work. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated on the declaration form and also in the thesis, which work has been so incorporated.
- 10.7 The candidate shall ensure that the thesis format is in accordance with the requirements of the University's regulations, which are contained in Annexe E: Thesis Format Requirements. Theses may be submitted for examination in a permanently bound form or a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed. The thesis shall be presented in a permanent binding of the approved type before the degree may be awarded. A thesis submitted in a temporarily bound form shall be in its final form in all respects save the binding. In such cases, the candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.

11 Examiners

- 11.1 A candidate shall be examined by at least two and normally not more than three examiners (except where paragraphs 12.9 or 13.2 apply), of whom at least one shall be an external examiner.
- 11.2 The Board of Examiners shall include an independent Chair, who will normally be the School Research Director or a senior member of staff nominated by the School Research Director and approved by the REKTC. The Chair of Examiners will not participate in the examination process but will be responsible for ensuring and attesting to the proper and fair conduct of the examination.
- 11.3 An internal examiner shall be defined as an examiner who is:
 - a) a member of staff of the University but not the candidate's supervisor or advisor;
 - b) a member of staff of the candidate's Collaborating Establishment.
- 11.4 A candidate's supervisor or advisor shall not be appointed an internal examiner.
- 11.5 Where the candidate and the internal examiner are both on the staff of the same establishment, a second external examiner shall be appointed.
- 11.6 Examiners shall be demonstrably experienced and active in research in the area of the candidate's thesis.
- 11.7 For MPhil/PhD at least one external examiner shall have substantial experience (that is, normally three or more previous examinations) of examining research degree candidates. In an examination for PhD, at least one external examiner shall normally have substantial experience of PhD examining.
- 11.8 An external examiner shall be independent both of the University and of the Collaborating Establishment and shall not have acted previously as the candidate's supervisor or advisor. An external examiner shall normally not be a supervisor of another candidate in the same department at the University. Former members of staff of the University shall normally not be approved as external examiners until three years after the termination of their employment with the University.
- 11.9 The REKTC shall ensure that the same external examiner is not approved so frequently that his/her familiarity with the department might prejudice objective judgment.
- 11.10 A candidate registered for a research degree of the University of Westminster shall not normally act as an examiner.
- 11.11 The University shall determine and pay the fees and expenses of the external examiners.

12 First examination

- 12.1 Before any oral or alternative form of examination is held, each examiner shall read and examine the thesis and submit, on the appropriate form, an independent preliminary report on it to the Chair of Examiners. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in paragraphs 1.7 and 1.8) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.
- 12.2 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 oral examination.
- 12.3 Following the oral examination the examiners, where they are in agreement, shall submit to the Academic Registrar or nominee via the Chair and using the appropriate form (see Annexe B), a joint report and recommendation relating to the award of the degree. The Chair shall formally confirm that the examination has been conducted in a fair and proper manner and in accordance with the regulations. The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work and shall be sufficiently consistent with each other to enable the REKTC to satisfy itself that the recommendation chosen in paragraph 12.5 below is correct.
- 12.4 Where the examiners are not in agreement, separate reports and recommendations shall be submitted. The recommendations shall be made on the appropriate form.
- 12.5 Following the completion of the examination, the examiners may recommend that:
- a) the candidate be awarded the degree;
 - b) the candidate be awarded the degree, subject to minor amendments being made to the thesis, to be completed within a period of three months from the official notification of the outcome (see paragraph 12.7);
 - c) the candidate be awarded the degree subject to revision of the thesis, to be completed within a period of six months from the official notification of the outcome (see paragraph 12.7);
 - d) the candidate be permitted to re-submit for the degree and be re-examined, with or without an oral examination (see section 13);
 - e) the candidate be not awarded the degree and be not permitted to be re-examined (see paragraph 12.11); or,
 - f) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the satisfactory completion of minor amendments to be completed within a period of three months from the official notification of the outcome.

- g) in the case of a PhD examination, and where the thesis potentially meets the criteria for the award of MPhil, the candidate be awarded the degree of MPhil subject to revision of the thesis to be completed within a period of six months from the official notification of the outcome (see paragraph 12.7).
- 12.6 Examiners may indicate informally their recommendation on the result of the examination to the candidate but they shall make it clear that the decision to accept their recommendation rests with the REKTC.
- 12.7 In the case of outcomes 12.5 (b), (c), (f) and (g):
- a) The examiners shall specify in their written reports the amendments or revision they require and how these shall be approved, whether by the internal, external or appropriate nominee (see 12.8) or combination of these;
 - b) If upon submission of the amended or revised thesis, the examiners are not satisfied it meets the required standard, the candidate shall be allowed a maximum of one additional period of three months to amend or revise the thesis, following which no further attempt will be permitted;
 - c) An extension of the time allowed for amendments or revision may exceptionally be permitted, subject to approval by REKTC.
- 12.8 The REKTC is permitted in exceptional circumstances and with the specific approval of the Vice-Chancellor, to appoint an appropriate individual other than the internal or external examiner to supervise a candidate's corrections to a thesis (see paragraph 12.7.a and 12.7.b above). Exceptionally, such an appointment may be made through Chair's Action.
- 12.9 Where the examiners' recommendations are not unanimous, the REKTC may:
- a) accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
 - b) accept the recommendation of the external examiner; or
 - c) require the appointment of an additional external examiner.
- Where an additional external examiner is appointed under sub-paragraph 12.9.c, he/she shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner, the REKTC shall complete the examination as set out in Section 8.
- 12.10 A further examination in addition to the oral examination may be requested by the examiners. In such cases, the approval of the REKTC shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two calendar months of the oral examination unless

the REKTC permits otherwise. Any such examination shall be deemed to be part of the candidate's first examination.

- 12.11 Where the recommendation of the examiners is either recommendation 12.5.e (that the degree be not awarded and that no re-examination be permitted) or recommendation 12.5.f or g (that in the case of a PhD examination, the candidate may be awarded the degree of MPhil), they shall ensure that the deficiencies in the candidate's performance whether in the thesis or in the viva and any other reasons for reaching this recommendation are sufficiently and clearly set out in the Final Report and sufficiently consistent with the content of the Preliminary Reports as to satisfy the REKTC as to the appropriateness of the recommendation.

13 Re-examination

13.1 Where a candidate fails to satisfy the examiners at first examination, the REKTC may permit a maximum of one re-examination, subject to the following requirements:

- a) a candidate who fails to satisfy the examiners at the oral or approved alternative examination (see paragraph 8.3) or any further examination required under paragraph 12.10 may, on the recommendation of the examiners and with the approval of the REKTC, be permitted to resubmit the thesis and be re-examined;
- b) the examiners shall provide the candidate, through the REKTC, with written guidance on the deficiencies of the first submission; and
- c) the candidate shall submit for re-examination within the period of one calendar year from the date of the latest part of the examination. The REKTC may, where there are good reasons, approve an extension of this period.

13.2 The REKTC may require that an additional external examiner be appointed for the re-examination.

13.3 Following first examination, there are four forms of re-examination:

- a) where the candidate's performance in the oral or approved alternative examination (see paragraph 8.3) or further examination (see paragraph 12.10) was satisfactory but the thesis was unsatisfactory and the examiners on re-examination certify that the thesis as revised is satisfactory, the REKTC may exempt the candidate from further examination, oral or otherwise;
- b) where the candidate's performance in the oral or approved alternative examination (see paragraph 8.3) or further examination (see paragraph 12.10) was unsatisfactory and the thesis was also unsatisfactory, any re-examination shall include a re-examination of the thesis and an oral or approved alternative examination (see paragraph 8.3);
- c) where the candidate's thesis was satisfactory but the performance in the oral and/or other examination(s) was not satisfactory the candidate shall be re-examined in the oral and/or other examination(s), subject to the time limits prescribed in sub-paragraph 13.1.c, without being requested to revise and re-submit the thesis;
- d) where the thesis was satisfactory but the candidate's performance in relation to the other requirements for the award of the degree was not satisfactory, the examiners may propose instead a different form of re-examination to test the candidate's abilities; such examination may take place only with the approval of the REKTC.

- 13.4 Where the examiners are not in agreement, separate reports and recommendations shall be submitted. The recommendations shall be made on the appropriate form.
- 13.5 The administration procedures for the re-examination process shall be the same as for the first submission and the first examination.
- 13.6 Following the completion of the re-examination, the examiners may recommend that:
- a) the candidate be awarded the degree;
 - b) the candidate be awarded the degree subject to minor amendments being made to the thesis to be completed within a period of three months from the official notification of the outcome;
 - c) the candidate be awarded the degree subject to revision of the thesis to be completed within a period of six months (see paragraph 12.7);
 - d) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to revision of the thesis to be completed within a period of six months from the official notification of the outcome;
 - e) in the case of a PhD examination, the candidate be awarded the degree of MPhil provided the thesis meets the criteria for this award;
 - f) the candidate be not awarded the degree.
- 13.7 In the case of re-examination outcomes 13.6 (b), (c) or (d):
- a) The examiners shall specify in their written reports the amendments or revision they require and how these shall be approved, whether by the internal, external or appropriate nominee (see 12.8) or combination of these;
 - b) A candidate will be permitted only one attempt at completing the amendments or revision to the satisfaction of the examiners following re-examination;
 - c) An extension of the time allowed for amendments or revision may exceptionally be permitted, subject to approval by REKTC;
 - d) In the case 13.6 (b), where the candidate has been re-examined for the award of PhD but fails to complete the minor amendments to the satisfaction of the examiners at the first attempt, the degree of MPhil may not then be awarded;
 - e) In the case 13.6 (c), where the candidate has been re-examined for the award of PhD but then fails to complete the revision of the thesis to the satisfaction of the examiners at the first attempt, the degree of MPhil may then be awarded provided the thesis meets the criteria for this award.

14 Thesis (see also Annexe E)

- 14.1 Except with the specific permission of the REKTC the thesis shall be presented in English (see paragraph 3.4).
- 14.2 There shall be an abstract of approximately 300 words bound into the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- 14.3 The thesis shall include a statement declaring the work to be the candidate's own and acknowledging any assistance received. Where a candidate's research programme is part of a collaborative group, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.
- 14.4 In exceptional circumstances it may be appropriate for the 'thesis' to be submitted either wholly or in part in a form other than a traditional bound printed form. Such alternative forms of submission may be permitted subject to the approval of the REKTC. Where a student and/or supervisor deems an alternative form of submission to be appropriate, the REKTC must be notified at the earliest opportunity and may, following appropriate consultation, decide either to approve or not to approve the proposed submission arrangements.
- 14.5 Unless specific agreements have been made to the contrary (for example, in the case of exploitation of intellectual property rights) the candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.
- 14.6 The text of the thesis should normally not exceed approximately 80,000 words for PhD and 40,000 for MPhil, though in practice variation is expected depending on the subject area.
- 14.7 Following the award of the degree the Academic Registrar or nominee shall:
 - a) Lodge a copy of the thesis in the University library and in the library of any collaborating establishment, and an electronic copy in WestminsterResearch (the University's online repository) (see also paragraphs 3.7. and 3.8.).
 - b) Submit such documentation and information regarding the thesis as is required by the British Library, noting that the electronic thesis will be automatically added to the British Library's online thesis service (EThOS) following deposit in WestminsterResearch.
 - c) Where the REKTC has in accordance with the provision of paragraph 3.8. agreed that the confidential nature of the candidate's work is such as to preclude the thesis or the confidential part of the thesis being made freely available in the library of the University (and that of any Collaborating Establishment) and the British Library, the thesis shall, immediately on completion of the programme of work, be retained by the Academic Registrar or nominee on restricted access with an abridged thesis freely available in the library of the University, where applicable. The restricted access thesis shall be made available only to those directly involved in the project.

15 Review of an Examination Decision

- 15.1 A candidate may in the circumstances set out below request a review of an examination decision, whether at the first examination or re-examination.
- 15.2 A request for a review may only be made in relation to a decision of the REKTC on the recommendation of the examiners. Given the existence of procedures for complaint and grievance during the study period, alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for requesting a review of the examination decision.
- 15.3 A request for a review may only be made on the following grounds:
- a) that there were circumstances affecting the candidate's performance of which the examiners were not aware at the oral examination; and/or
 - b) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity; and/or
 - c) that there is evidence of unfair or improper assessment on the part of one or more of the examiners; a candidate may not otherwise challenge the academic judgment of the examiners.
- 15.4 A candidate shall give notice, in a letter to the Head of the Research Office, within three months from the date of notification of the result that he/she wishes to request a review and shall submit the case for review within a further three months from the date of giving notice.
- 15.5 The request for a review shall first be considered by the Academic Registrar or nominee and the Chair or Deputy Chair (Research Degrees) or nominee who shall have had no prior involvement in the case and shall determine whether there is a *prima facie* case for a review.
- 15.6 If the Academic Registrar or nominee and the Chair (Research Degrees) or nominee consider that the request is frivolous, vexatious or outside the permitted grounds, the case shall be referred to an Independent Rapporteur with a recommendation that it be dismissed on the grounds that no *prima facie* case exists. The Independent Rapporteur will be a senior member of the University who has had no previous involvement in the case. The Independent Rapporteur may endorse the recommendation or may determine that a review panel should convene for further investigation on the grounds set out in 15.3 above. There shall be no right of appeal against this decision of the Independent Rapporteur
- 15.7 Where the Academic Registrar or nominee and the Chair (Research Degrees) or nominee consider that there is a *prima facie* case, a Review Panel shall be established. The Review Panel shall be constituted by the REKTC from persons having experience of supervising and examining research degrees and who have had no previous involvement in the case. No student or registered research degree candidate shall be a member of a research degree Review Panel or have any involvement in consideration of any stage of a Request for a Review.

- 15.8 A Review Panel shall not be constituted as an examination board and shall not have the authority to set aside the original decision of the REKTC and thereby to recommend the award of the degree.
- 15.9 Following the establishment of the Review Panel, the Academic Registrar or nominee, in discussion with the Chair (Research Degrees) or nominee, shall gather such evidence as is considered appropriate and likely to assist the Review Panel in reviewing the case. This may include seeking written or oral testimony from the examiners, from other persons present at the oral examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate. It shall be for the Review Panel to determine whether the candidate shall be invited to present a case in person or to provide oral evidence.
- 15.10 Having reviewed all the evidence before it, the Review Panel will make one of the following recommendations to the REKTC:
- a) That the candidate has valid grounds for a review and that the examiners be invited to reconsider their decision; or
 - b) That the candidate has valid grounds for a review and that new examiners be appointed; or
 - c) That the candidate has no grounds (as set out in 15.3 above) for a review of the examiners' original decision; or
 - d) That the request for review be dismissed on the grounds that no procedural irregularity has occurred in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity.
- 15.11 In the case of recommendations 15.10 (a) or 15.10 (b), the REKTC shall require further reports and recommendations from the original or replacement examiners upon consideration of which it shall determine the award of the degree. In the case of recommendation 15.10 (a), the REKTC will require further reports and recommendations from the examiners, which shall clearly demonstrate that they have acted with due diligence in reconsidering their decision with reference to the reports and recommendations of the Review Panel.
- 15.12 There shall be no appeal from the decision of the REKTC on the reports and recommendations under 15.11 above.

16 Review of a Decision to Withdraw a Research Degree Registration or Discontinue Enrolment

- 16.1 A candidate may in the circumstances set out below request a review of a decision by the University to withdraw their registration and discontinue their enrolment.
- 16.2 A request for a review under this procedure may be made only in relation to a University-level decision to withdraw a candidate's registration prior to examination. Separate procedures apply for review of examination decisions, which may be found at Section 15 above.
- 16.3 Given the existence of procedures for complaints and grievances to be raised during the period of study, alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for requesting a review of a withdrawal decision. In the event that a complaint or grievance is lodged by the appellant prior to or during the course of this review process, the Academic Registrar or nominee will be informed and the appeal process shall normally be suspended pending completion of the complaint or grievance process.
- 16.4 In this document, the term 'assessor' means any individual involved in the assessment of the adequacy of the candidate's performance and progression which ultimately gave rise to the withdrawal decision. The term 'assessment' means the formulation of an academic judgment as to the adequacy of the progress and performance in relation to that required for a timely and successful completion as defined in these Regulations and the University Code of Practice for Research Degree Programmes.
- 16.5 A request for a review may only be made on the following grounds:
 - a) that there is evidence that a procedural irregularity (including administrative error) has occurred in the assessment of the candidate's progress and performance (measured against the performance and rate of progress that would be required for a timely and successful completion as defined in the *Regulations* and *Code*) and that the procedural irregularity is of such a nature as to cause doubt as to whether the decision might have been different had there not been such irregularity; and/or
 - b) that there is evidence of improper assessment by the assessors of the adequacy of the candidate's progress and performance in relation to the rate of progress required for a timely and successful completion as defined in the *Regulations* and *Code*; a candidate may not otherwise challenge the academic judgment of the assessors.
- 16.6 A candidate wishing to request a review shall give notice, in a letter to the Head of the Research Office (Academic Services Department), within 15 days of the date of the formal notification of the REKTC's decision to withdraw the candidate, of their intention to request a review of the decision, setting out their grounds under 16.5 (a) and/or 16.5 (b) above.

- 16.7 The request for a review shall first be considered by the Academic Registrar or nominee and an independent senior member of staff, such as a Dean of School or School Research Director (from a School other than the candidate's own) who shall undertake an assessment to determine whether there is a *prima facie* case for a review.
- 16.8 If the Academic Registrar or nominee and the independent senior member of staff consider that the request is frivolous, vexatious or outside the permitted grounds, the case shall be referred to an Independent Rapporteur, who shall be a senior member of the University with no prior involvement in the case, with a recommendation that it be dismissed on the grounds that no *prima facie* case exists. The Independent Rapporteur may endorse the recommendation or may determine that a review panel should convene for further investigation on the grounds set out in paragraph 16.5 (a) and/or 16.5 (b) above. There shall be no right of appeal against this decision of the Independent Rapporteur.
- 16.9 Where the Academic Registrar or nominee and the independent senior member of staff consider that there is a *prima facie* case, a Review Panel shall be established, consisting of three members of University staff having experience of supervising and examining research degrees and who have had no previous involvement in the case, and a Chair shall be appointed from among them. The members of the Panel shall be drawn from a School other than the appellant's own. No student or registered research degree candidate shall be a member of the Review Panel or be involved in any stage of the review process.
- 16.10 A Review Panel shall not be constituted as an academic assessment board and shall not have the authority to determine whether or not the student should be permitted to progress or continue their enrolment, but shall determine upon one of the recommendations in paragraph 16.13 below.
- 16.11 The Academic Registrar or nominee shall appoint a Secretary to the Review Panel.
- 16.12 The Review Panel, acting through its Chair and Secretary and advised as necessary by the Academic Registrar or nominee, shall gather such evidence as is considered appropriate and likely to assist the Review Panel in reviewing the case. This may include seeking written or oral testimony from the Independent Rapporteur, supervisors, assessors, School Research Directors, the academic Rapporteur, other members of the academic staff, or further evidence or statements by way of elucidation from the candidate. It may also obtain independent evidence or academic assessments externally where appropriate. It shall be for the Review Panel to determine whether the candidate shall be invited to present a case in person or to provide oral evidence.
- 16.13 Having reviewed all the evidence before it, the Review Panel will make one of the following recommendations to the REKTC:
- a) That the candidate has valid grounds for a review and that the adequacy of the candidate's progress and performance be re-assessed using the original assessors;

- b) That the candidate has valid grounds for a review and that the adequacy of the candidate's progress and performance be re-assessed using different assessors;
 - c) That the candidate has no grounds (as set out in paragraph 16.5 (a) and 16.5 (b) above) for a review of the assessor/s' original decision; or
 - d) That the request for review be dismissed on the grounds that no procedural irregularity has occurred in the conduct of the assessment (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity.
- 16.14 In the case of recommendations 16.13 (a) or 16.13 (b), the REKTC shall require further reports and recommendations from the assessors upon consideration of which it shall determine whether the candidate may continue their registration or enrolment.
- 16.15 In the case of recommendation 16.13 (a), the further reports and recommendations of the assessors shall clearly demonstrate that they have acted with due diligence in reconsidering their decision with reference to the reports and recommendations of the Review Panel. In the case of 16.13 (c) and 16.13 (d), the REKTC will formally confirm its original decision.
- 16.16 There shall be no appeal from the decision of the REKTC.

17 Special Regulations for the Award of MPhil and PhD by Published Work

(Approved: Academic Council, June 2010)

These special regulations for the Award of Research Degrees by Published Work should be read in conjunction with the University's 'Regulations for the Award of the Degrees of Master of Philosophy and Doctor of Philosophy' (Research Degree Regulations)

Award of PhD by Published Work

- 17.1 Candidates may apply for the award of PhD on the basis of published work subject to the conditions which follow.
- 17.2 All candidates under these regulations will be subject to the Research Degree Regulations except as otherwise stipulated in these regulations.

Eligibility

- 17.3 Candidates must meet the normal entry requirements for registration for PhD.
- 17.4 Candidates must be able to supply at their own expense evidence of published work.
- 17.5 Appropriate expertise in the field concerned must exist within the University.

Application and Registration

- 17.6 To apply for enrolment for a Research Degree by Published Work, candidates shall submit to the Research Office a portfolio of publications, accompanied by a proposal as to the overarching narrative. This proposal shall not exceed 2000 words and will contextualise the selected publications, demonstrate their coherence and outline the intended contribution to knowledge. A work in press can be included in the portfolio if it has already been unconditionally accepted for publication and will fulfil the requirements stipulated below in sections 17.12-17.17 at time of the submission of the work.
- 17.7 Applications for enrolment for a Research Degree by Published Work shall be considered by a School panel consisting of the School Research Director or nominee, and the potential supervisory team (including any external member it may be appropriate to co-opt from a related discipline). Where the School Research Director (SRD) is also a member of the potential supervisory team, the panel must include an additional nominee of the SRD who will not be involved in the supervision process. The panel will assess the quality and the coherence of the publications and the proposal submitted by the candidate, with a view to recommending enrolment or not. The Panel will pay due regard to establishing the candidate's authorship role in relation to the proposed work/s.
- 17.8 Upon admission by the appropriate School panel, the candidate shall enrol as a research student of the University of Westminster, and shall pay the appropriate tuition fee (not applicable in the case of University of Westminster)

staff). Following the panel's recommendation, a candidate's enrolment will also constitute their successful registration.

- 17.9 The REKTC shall choose to endorse the registration of candidates for a Research Degree by Published Work on the recommendation of the appropriate School. In making such recommendations the School is confirming its satisfaction as to the suitability of the candidate and the availability of appropriate supervisory and other support.
- 17.10 All candidates for a Research Degree by Published Work shall be registered for a minimum of one year and a maximum of two years.
- 17.11 The appointment of supervisor/s shall be subject to the requirements of Section 6 of the Research Degree Regulations except insofar as, for a candidate registered on the Published Work route, only one supervisor need be appointed. This does not preclude the appointment of a supervisory team by the School. The role of the supervisor shall include assisting the candidate in preparing the work for submission and proposing examination arrangements to the REKTC.

Submission of Work

- 17.12 Candidates should seek early advice from the School panel (as constituted in paragraph 17.7 above), about the eligibility of work to be included in their portfolio. Work must always reach the standard defined in paragraph 17.14 below, and should normally consist of one or more of the following:
- a) **Books and Book chapters**– the defining characteristic being that every book should have an International Standard Book Number (ISBN), whether a monograph or chapters published in similarly accredited books or edited collections.
 - b) **Refereed Journal Papers** – research papers aimed primarily at the academic and research community (including electronic publications).
 - c) **Other Media/Other Public Output** – which represent a contribution to research in the academic subject concerned. Examples might include designs (e.g. architectural or engineering designs), artwork, maps, patents granted, publicly available software, works created or performed if publicly recognised as original research contributions to the subjects.
- 17.13 The body of work may not include any material produced more than ten years before the date of submission.
- 17.14 The submission shall be a coherent body of work which, constitutes an original contribution to knowledge and is of the same quality, rigour and volume required of a normal PhD in that field. It shall be accompanied by an abstract and a commentary which describes the aims of the research, incorporates an analytical discussion of the main results and conclusions, and puts the total work submitted in context. The commentary should not normally exceed 5,000 words for science and technology subjects and 10,000 for arts, social sciences and humanities.

- 17.15 Candidates proposing to submit a single book or work or artefact (as opposed to a series of papers or other outputs) shall be required to submit a commentary as outlined above.
- 17.16 The submitted work must show evidence of appropriate research skills and training and constitute an independent and original contribution to knowledge.
- 17.17 When a candidate submits work published jointly with others, he or she shall submit such evidence as may be required by the REKTC as to the extent of his or her contribution to that work. The REKTC reserves the right to verify the claims made by a candidate in case of all multi-authored works with the other cited authors.

Examination

- 17.18 Approximately three months before the proposed date of the oral examination, the supervisor shall propose the arrangements for the candidate's examination for the approval of the REKTC.
- 17.19 The appointment of examiners shall be in accordance with the Research Degree Regulations, Section 11 but where the candidate is an employee of the University both examiners shall be external to the University. Where the candidate is not an employee of the University, the examiners shall consist of one internal and one external examiner, providing that the external is not from an institution at which the candidate is employed.
- 17.20 A candidate shall submit for examination one copy of the material for each examiner appointed and the Chair of Examiners.
- 17.21 The material, other than published books, must be bound in the manner prescribed by the Research Degree Regulations.
- 17.22 The REKTC may, as appropriate, accept for examination a wholly published version or require that the work be submitted in the form of a thesis as prescribed in the regulations.
- 17.23 A candidate shall be required to declare that:
- a) The submission as a whole or in part is not substantially the same as any that he or she has previously made or is currently making, whether in published or unpublished form, for a degree, diploma or similar qualification at any university or similar institution.
 - b) Until the outcome of the current application to the University is known, the work or works submitted will not be submitted for any such qualification at another university or similar institution.
- 17.24 Following the oral examination, successful candidates shall be required to submit copies of the material as detailed in the Research Degree Regulations, paragraph 14.7.

17.25 The submitted work will be assessed by the examiners who may recommend:

- a) The candidate be awarded the degree
- b) The candidate be awarded the degree subject to minor amendments
- c) the candidate be awarded the degree of MPhil
- d) The candidate be not awarded the degree

17.26 Where the examiners recommend that the degree be not awarded, the candidate may not submit for a PhD by Published Work within a period of three years from the date of the original examination. Any further submission must include evidence of additional work.

Annexe A

University Research, Enterprise and Knowledge Transfer Committee: Composition and Terms of Reference

The work of the University Research, Enterprise and Knowledge Transfer Committee (REKTC) falls into two closely related areas: research policy and strategy, and research degrees. The Committee is chaired by the Vice-Chancellor or nominee and its work on research degrees is led by the Chair (Research Degrees) who is assisted by the Deputy Chair (Research Degrees). The Committee's membership includes Deans and School Research Directors from the University's Schools and Westminster Exchange and representatives of the professional support departments. REKTC has overall responsibility institutionally for all aspects of research degree provision including: quality and standards; approval of registration, progression and examination arrangements; consideration of examiners' recommendations; education and training of research students; regulations and guidelines; annual monitoring and progression process; monitoring and promotion of staff and student development activities; and consideration of performance indicators.

Terms of reference

1. To be responsible through the University's management structure for the development and implementation of the University's policy and strategy on research and research degrees, and for the University-level direction of research activity
2. To foster internally and to represent externally a vibrant University research culture
3. To facilitate the assessment of the University's research through periodic external assessment exercises and bids for project funding
4. To evaluate and to make recommendations on the effectiveness of current arrangements to support the exploitation of external research funding opportunities
5. To develop and to keep under review implementation plans for the University's Research, Enterprise and Knowledge Transfer Strategy, and to monitor and evaluate University research performance against the plans and targets
6. To develop and keep under review mechanisms for collaborating with Schools and Departments in its decision-making processes
7. To consider for approval (or not) the research strategies and targets of Schools and Departments
8. To make recommendations to the University Executive Board (UEB) on the distribution of funds to develop research
9. To review periodically the University's Research Policy, Strategy and Operational Framework

10. To maintain an overview of and to make recommendations on staff development activities relating to research
11. To be responsible for the formal approval of the registration, progression and examination arrangements for research students, and the consideration of examiners' recommendations on the award of research degrees
12. To be responsible for the promotion, co-ordination and monitoring of education and training for research students, including their working environment, in the context of the devolved responsibilities of Schools in research degree delivery bearing in mind the locus of responsibility for facilities and resources in the devolved School structure
13. To keep under continuous review the regulations and guidelines governing research degree provision and awards
14. To be responsible for the development and conduct of the institutional annual monitoring processes for research degree provision (e.g. Annual Progress Review), including receiving and considering audit reports and making decisions and recommendations for action
15. To monitor and disseminate information on research student and staff training and development programmes
16. To consider information on the progression and completion rates of research degree students
17. To consider recommendations on applications for the withdrawal of research degree students in cases of unsatisfactory progress
18. To consider reports and other information regarding research integrity and the ethical conduct of research, including reports from the University's Research Ethics Sub Committee

Sub-Committees of the REKTC

The work of the REKTC is supported by the Research Degrees Sub Committee (RDSC) and the Research Students' Forum (RSF).

Annexe B

UNIVERSITY FORMS FOR RESEARCH DEGREE PROGRAMMES

The forms listed below are available at the Westminster Research Students' Blackboard site and at this website address: <http://www.wmin.ac.uk/researchdegreeforms>

R- Application to register for a research degree of the University

T- Application for transfer of registration from Master of Philosophy to Doctor of Philosophy

Ext- Application for extension of period of registration

S- Application for change in approved arrangements for supervision

SU- Application for suspension of period of registration

E- Application for approval of examination arrangements

M/S- Notification of change in approved mode of study

W- Notification of withdrawal of registration

PhDA*- Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy

MPhilA*- Preliminary report and recommendation of an examiner on a candidate for the degree of Master of Philosophy

PhDB*- Recommendation of the examiners on a candidate for the degree of Doctor of Philosophy

MPhilB*- Recommendation of the examiners on a candidate for the degree of Master of Philosophy

Decl- Candidate's declaration form

CF - Chair of Examiners Declaration Form

WU - Writing-Up Status Form

ESF - External Study Plan Form

SE - Supervisory Experience

RSL - Research Supervision Log

** Also available for re-submissions*

Annexe C

External Research Degree Study (ERDS) Scheme

C1. The University of Westminster recognises that an uninterrupted period of three years' study abroad is not the most appropriate study pattern for every student and particularly for:

- researchers in overseas collaborating institutions; or
- students whose projects are most appropriately undertaken within their home country or region; or
- students who are unable for cultural or family reasons to live abroad for three years.

C2. The External Research Degree Study (ERDS) Scheme is intended to allow students to register for University research degree awards for which part or the majority of their study takes place overseas in appropriate cases. External study via this scheme is not offered in some areas of research.

C3. The scheme embraces three possible patterns of study.

C4. All candidates wishing to be considered for entry under this scheme will be required to demonstrate that they:

- meet the same entry requirements as internal students
- are able to undertake a suitable research project in their home country
- have the assurance of their home institution that for the whole duration of the period of study all necessary resources, facilities and support will be available
- have ready access to all facilities required for the proposed programme of research
- will have access to and be supported by appropriate local institutions
- have the means of rapid communication with their supervisors, for example by telephone, fax and e-mail
- will be able throughout the course of the registration to spend a minimum of two months per year (or longer where required by individual Schools) in attendance at the University of Westminster, at such times as will allow the necessary levels of access to supervisory support and research training.

C5. Candidates under this scheme will not normally be permitted to register for PhD Direct.

C6. Before enrolment for the next academic year, each candidate/continuing student on this scheme shall:

- a) agree in conjunction with his or her proposed Director of Studies a plan of work for the forthcoming year, indicating clearly which periods are to be spent in the country of domicile and which at the University of Westminster. The plan of work should be signed by the Director of Studies and the candidate and forwarded to the appropriate officer in the Research Office for calculation of fees and enrolment arrangements
- b) undertake responsibility for the advance payment of travel, accommodation and subsistence expenses for supervisory visits to the country of domicile.

C7. Candidates will normally conform with one of the following patterns of study:

□ **Pattern 1 (External Study)**

• **Description**

The student pursues his or her research project whilst remaining in his or her own home country.

• **Study Pattern**

- A minimum of two months per annum to be spent in attendance at the University of Westminster, or longer where this is required by individual Schools of the University.
- At least one visit each year by supervisor to the student in his/her environment of study, of appropriate duration to permit detailed and extensive discussion of progress to date and work planned.
- Oral examination will normally take place at the University of Westminster.

• **Fee**

Overseas rate, plus travel expenses for supervisory visits.

□ **Pattern 2: Joint Awards**

• **Description**

A formal institutional collaboration, and joint conferment of the degree, with proposed project of work, and arrangements for collaboration between supervisors, approved by both institutions.

• **Study Pattern**

- A minimum period of study at the University of Westminster of either one or two years, each year to be charged at FT External overseas rate (not necessarily to be spent in one block period, but divided in the most fruitful way and charged on a pro rata basis).

• **Fee**

- Periods in residence: Pro rata full-time overseas rate
- Non-resident periods: overseas rate (part-time or full-time) on pro rata basis
- Travel expenses for supervisory visits.

□ **Pattern 3: Visiting Researchers**

• **Description**

Student is registered for degree of another institution but attends the University by arrangement with academic research staff, Dean of School and School Research Director.

• **Fee**

- Bench fee set at local level to cover consumables and equipment usage etc.

• **Conditions**

- That the University of Westminster be acknowledged in the thesis.

- C8.** External Study students will be charged annually a fee which will be the sum of:
- for periods of study in residence at Westminster, the full-time overseas fee pro rata; plus
 - for periods of study in country of domicile, External Overseas Rate (charged per month); plus
 - supervisory travel and subsistence expenses (to be agreed individually in advance).

Fees for each individual student will be set prior to enrolment each year in accordance with agreed periods of internal and external study and supervisory travel plans.

Annexe D

Writing-Up Fee Status

Subject to approval by the Director of Studies and the School Research Director, Writing-Up Fee Status may be accorded to research degree students who have completed the active research for their projects and are engaged solely in writing up their work. The Writing-Up period is included within the maximum registration period. The University expects that the thesis will normally be completed and submitted for examination within six months of writing-up status being awarded (for full-time students) or within twelve months (for part-time students).

The scheme consists of a six-month grace period during which no fees are payable and which becomes effective either in October or in April, whichever is specified by the Director of Studies as the effective date from which the candidate is engaged solely in writing-up.

The six-month grace period is followed by a reduced annual fee, as set from time to time by the Court of Governors, for each subsequent year spent writing-up following the expiry of the six-month grace period.

Annexe E

Thesis Format Requirements

E1. It is a condition of the award of the degree that the candidate provides copies of the final, approved version of the thesis in the formats required by the University which are set out in this Annexe. The University open access publishing policies (<http://www.westminster.ac.uk/research/rs/key-documents/dissemination-policy-wr>) promote the widest possible dissemination of research conducted at Westminster. All candidates are therefore required to submit one paper copy of their thesis in permanently bound form and in addition an electronic copy as set out in the table below. This will be deposited in WestminsterResearch, the University online repository, and in the UK's Electronic Thesis Online Service (EthOS). In submitting the paper and electronic thesis, candidates shall confirm that the work is their own, has not been submitted for any other award, does not contain copyright material or that copyright owners have given permission for the use of the material and that the content of the paper submission is identical to the content of the electronic submission.

E2. The detailed requirements for the paper thesis are:

- a. Theses shall normally be in A4 format.
- b. Copies of the thesis shall be presented in a permanent and legible printed form. The text will be of a satisfactory quality, with the size of character used in the main text, including displayed matter and notes, shall normally be in 12 point font size. Where copies are produced by photocopying processes, these shall be of a permanent nature.
- c. The thesis shall be printed on one side of the page only; the paper shall be white and of good quality.
- d. The margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm.
- e. Double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used.
- f. Pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages.
- g. The title page shall give the following information (a specimen is shown overleaf):
 - (i) the full title of the thesis;
 - (ii) the full name of the author;
 - (iii) that the degree is awarded by the University;
 - (iv) the award for which the degree is submitted in partial fulfilment of its requirements;
 - (v) the collaborating establishment(s), if any; and
 - (vi) the month and year of submission.

h. The University library copy shall be bound as follows:

- (i) the binding shall be of a fixed type so that leaves cannot be removed or replaced and shall be in a dark colour; the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright; and
- (ii) in at least 24 point type the outside front board shall bear the title of the work, the name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards.
- (iii) where, in addition to the thesis, the candidate wishes to submit for assessment additional non-documentary material (for example, floppy disk/s or CD Rom/s), this material must be clearly listed in the contents page and securely bound into the thesis.
- (iv) where a candidate proposes to submit a thesis either wholly or in part in a form other than in traditional bound printed form, approval must first be obtained from the REKTC (please see Regulations, paragraph 14.4.).

E3. The requirements for the paper and electronic submissions are set out in the table below:

Submission Requirements	PhD/MPhil Type		
	Standard PhD (including Professional Doctorates) and MPhil	PhD and MPhil by Practice	PhD and MPhil by Published Work
Documents to be submitted in the paper copy	Copy of thesis hard-bound and lettered in accordance with Section 14 and Annexe E.	Copy of thesis hard-bound and lettered in accordance with Section 14 and Annexe E. Evidence of the artefact/output/practice (this may be in electronic format), attached to the inside of the bound thesis in a securely attached pocket	Copy of thesis hard-bound and lettered in accordance with Section 14 and Annexe E and including the published works which form the basis of the submission.
Content of the electronic copy , to be provided on CD-ROM or USB data stick	Schedule of contents of the electronic submission, with clearly descriptive file names for each document PDF of the thesis PDF of the title page PDF of the abstract	Schedule of contents of the electronic submission, with clearly descriptive file names for each document PDF of the thesis PDF of the title page PDF of the abstract Digital file(s) of evidence of the artefact/output/practice	Schedule of contents of the electronic submission, with clearly descriptive file names for each document PDF of the thesis PDF of the title page PDF of the abstract List of hyperlinks to the published works which form the basis of the PhD or MPhil submission

Specimen Thesis Title Page

THE ORIGINS OF THE FARMERS'
CO-OPERATIVE IN WESSEX

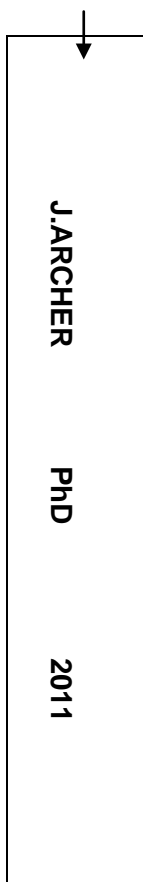
JENNIFER ARCHER

A thesis submitted in partial fulfilment of the
requirements of the University of Westminster
for the degree of Doctor of Philosophy

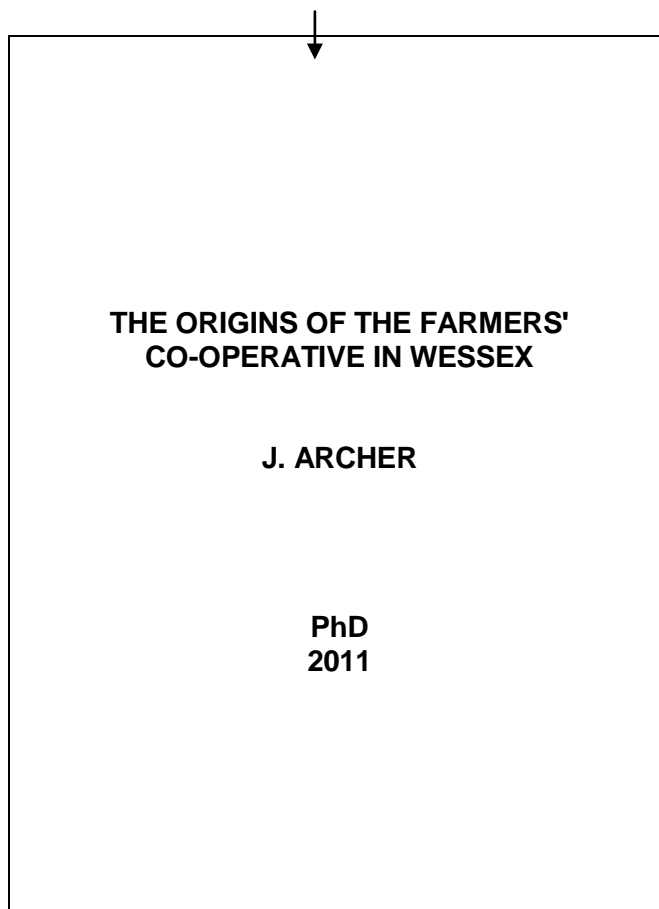
This research programme was carried out
in collaboration with the Borchester Farmers' Club

October 2011

Specimen Thesis Spine



Specimen Thesis Cover



Annexe F

Procedure to Address Unsatisfactory Performance in Research Degree Candidates

Introduction

- F1. The University's *Regulations for the Award of the Degrees of Master of Philosophy and Doctor of Philosophy* provide for the REKTC to take appropriate action, including withdrawal of registration, in cases where it has established that the performance of a registered research degree student is unsatisfactory. This Annexe (F) provides detailed procedural guidance to support Schools, research degree students and enrolled students prior to the registration of the degree, in addressing such situations and those of unsatisfactory performance. The distinction between enrolment and registration is important here. For research students, enrolment is the process of formally joining the University with a view to undertaking research degree study, whereas registration of the degree is an academic procedure which tests the viability of their project and which takes place four months after enrolment (for full-time students) or six months after enrolment (for part-time students).

Objectives

- F2. The purpose of this Annexe is to establish:
- i. clear guidance for addressing unsatisfactory performance and progress in research degree students; and
 - ii. specific procedures to be followed both in the case of poor performance by enrolled research students prior to the registration of their degrees and of unsatisfactory performance in registered research students.

Principles

- F3. The selection and admission of new students, and the Application to Register for the research degree are the essential foundations on which future progress and development of the project are based. It is therefore critical that these processes are thoroughly and rigorously carried out in order that potential problems can be identified and addressed promptly at an early stage.
- F4. It is not in the interests of the student or the University to prolong a situation where progress is inadequate or excessively slow, or where there is no real prospect of a successful and timely completion.
- F5. All judgments and assessments as to the adequacy of progress will be made in relation to the rate of progress and quality of performance required for a successful completion within the maximum period of registration for the award in question. Such judgments shall be evidence-based, and shall involve input from independent parties, for example School Research Directors, independent subject experts, and members or agents of the REKTC.

- F6. Procedures and communications in relation to unsatisfactory academic progress should take place within a framework clearly understood by both student and staff and should:
- be transparent
 - involve independent parties in addition to the student and supervisors
 - be clearly recorded
 - be overseen and where appropriate, adjudicated by the REKTC or its agents.
- F7. Priority should be given to preventing the development of such situations, and on acting to address them immediately they arise, for example, by assisting supervisors towards early recognition of incipient problems in academic progress or supervision difficulties and by encouraging students to identify emerging problems and take appropriate and timely steps to address them.

Procedures - before the degree has been registered

Admissions

- F8. The University's Code of Practice and regulations on research degree admissions must be observed in all admissions practice.
- F9. Research degree admissions are subject to the approval of the Dean (or School Research Director acting on behalf of the Dean) who is responsible for ensuring that the proposed admission is being made on a sound basis in terms of the academic ability, suitability and motivation of the applicant; the adequacy of the proposed supervisory arrangements; the availability of the necessary facilities and resources; and the validity of the research proposal. The decision of the Dean or School Research Director will also be informed by objective indicators of the ability and track record of proposed supervisors, including the number of successful completions; completion rate; current teaching, supervisory and administrative load and attendance on supervisory training courses.

Application to Register

- F10. Where a student has failed to produce a satisfactory Application to Register within four months of enrolment (in the case of full-time students) or six months of enrolment (in the case of part-time students), the candidate will normally be deemed not to be progressing at a satisfactory rate and procedures for managing unsatisfactory performance as set out below will be initiated.
- F11. Any student not having submitted their Application to Register endorsed by their supervisors, the School Research Director and the Dean of School by the end of their first academic year following initial enrolment, will not normally be permitted to re-enrol for the following session.
- F12. Where an enrolled student has produced an Application to Register which is not deemed satisfactory by the candidate's supervisors, the supervisors shall not endorse the application with their signatures and shall not forward the application to the REKTC for approval but shall indicate clearly to the candidate

the steps required to bring the application up to a satisfactory standard, together with a timetable for their completion. This should take place in a formal supervision session and the agreed progress plan and timetable should be recorded in detail in the Research Supervision Log, which should be copied to the Research Office. Students not having produced a viable Application to Register by the expiry of the timetable may be subject to discontinuation of their enrolment.

- F13. Following appropriate efforts to assist the student, the supervisors may conclude that, in the light of all the evidence, the student is incapable of producing a satisfactory Application to Register and the project is not viable in terms of the student's ability to achieve a timely and successful completion. In this case, the Director of Studies shall advise the student in the presence of the School Research Director that this is their considered view, explaining clearly the reasons why this view has been formed, and notifying the student of their intention to request to the School that the enrolment be discontinued. The student shall be informed in advance and in writing of the purpose of such a meeting.
- F14. A written record of the meeting should be kept, and the notification of intent to discontinue the enrolment given verbally to the student at the meeting should be confirmed in a formal letter from the School Research Director after the meeting, to be copied to the Research Degrees Manager.
- F15. The student should be advised at the meeting and in the follow-up letter of their right to request reconsideration of any decision that their enrolment or registration be withdrawn.
- F16. The REKTC should be notified promptly of the outcome, which should also be reported later within the framework of the Annual Progress Review.

Procedures - After the degree has been registered

Inactive Candidates

- F17. Judgments by Schools that candidates have become inactive are most commonly formally recorded within the framework of the Annual Progress Review through the reports by Directors of Studies and School Research Directors. However, it is very important that the procedures to withdraw the candidate are initiated as soon as the conclusion is reached within the School that a candidate is inactive, regardless of where this falls within the annual cycle.
- F18. Once a candidate has been judged by the School to have become inactive, the School Research Director should write formally to the candidate at their last known address (and email address, if available) requesting that they make contact with the University by a set deadline, failing which the School will recommend to the REKTC that the registration be withdrawn. A copy of this letter should be filed with the Research Degrees Manager.
- F19. Where the letter does not elicit a response by a deadline, the Director of Studies with the endorsement of the School Research Director, should apply to the

REKTC to withdraw the registration, explaining in a brief written statement the grounds and circumstances of the case.

- F20. Where students indicate a wish to continue their studies, they are required to confirm this in writing. Before active supervision resumes, a written plan of work (including targets and a timetable of work and supervision meetings) should be agreed and signed by the student and the supervisor at a meeting. A copy should be provided to the Research Degrees Manager for the student file.
- F21. Students resuming studies by this model following periods of non-enrolment must satisfy all the University's requirements for re-enrolment, and additionally such requirements as the University shall choose to apply taking account of the preceding period/s of non-enrolment.

Lack of Academic Progress

- F22. Where the issue is lack of academic progress as opposed to inactivity, the student should be so advised by the Director of Studies at a formal supervision session. The student will be given advance written notice as to the purpose of this session, and shall be made aware that the session has been convened under paragraph F22 of these Regulations.
- F23. At the F22 meeting, the supervisors should indicate clearly to the student the steps required to bring the work up to standard, and the timetable for doing so. These shall be set out in an 'improvement programme' determined by the Director of Studies in consultation as appropriate with the School Research Director. The improvement programme shall be recorded in the Research Supervision Log, a copy of which shall be forwarded to the School Research Director and the Research Degrees Manager. The timetable for completion of the programme shall normally be between four and six months. Where a shorter remediation period is indicated, the scale of the improvement programme shall be reduced accordingly by the supervisors.
- F24. Following the F22 meeting, the Director of Studies should formally communicate the outcome of the meeting in writing to the student, making clear that the consequences of failing to complete the improvement programme satisfactorily by the deadline may ultimately result in the withdrawal of their research degree registration.
- F25. Following the expiry of the improvement deadline and when they have made all reasonable efforts to assist the student, the supervisors may subsequently conclude in the light of the evidence that the student is incapable of achieving a successful and timely completion. In this case, the supervisors shall advise the student to this effect at a formal meeting in the presence of the School Research Director. The candidate will be given advance written notice of the purpose of this session, and it will be made clear that the meeting has been convened under paragraph F25 of these Regulations. At this meeting, the Director of Studies will indicate to the student that a formal recommendation will be put to the REKTC that the registration be withdrawn, on the grounds of unsatisfactory progress, in accordance with paragraph 5.7 of the Research Degree Regulations. The candidate will be informed as to the reasons why this view has

been formed. A written record of the meeting shall be kept and the notification given verbally to the student at the meeting shall be confirmed by a formal letter from the School Research Director after the meeting. At the F25 meeting, and in the subsequent letter, the student should be advised of their right under Section 16 of the Research Degree Regulations to request a review, in the event of a REKTC decision to withdraw the registration and/or discontinue the enrolment.

- F26. The documentation from the F25 meeting should be copied to the Research Degrees Manager and receipt by the Research Degrees Manager will constitute the request to the REKTC that the registration be withdrawn or enrolment be discontinued. The Research Degrees Manager may subsequently request from the School Research Director any additional evidence which might assist the REKTC in reaching a decision. This evidence shall include the documented case history of the student, which the School Research Director will obtain from the Director of Studies, including Research Supervision Logs, and other documents relevant to the case.
- F27. The REKTC shall consider only those requests for withdrawal which have the endorsement of the School Research Director.
- F28. Upon receipt of the documentation from the Research Degrees Manager, the Head of the Research Office shall notify the student that the REKTC is considering the request for withdrawal and will notify the student of the outcome.

Requests for Review of Decisions

- F29. Under the procedures set out in Section 16 of these Regulations, the student may request reconsideration of the decision for discontinuation of enrolment or withdrawal of registration or discontinuation of enrolment, and must be advised of this right at the F25 meeting where they are notified that withdrawal proceedings are being initiated, as well as in the subsequent letter.

Resumption of Studies by Withdrawn Candidate

- F30. Where a student has had their registration withdrawn by the REKTC but later re-establishes contact with the University with a view to continuing with the project, the resumption of studies will be subject to the agreement of the School Research Director and supervisory team and a new application for a place must be approved by the School and subsequently REKTC. In exceptional cases and where it is satisfied that the academic validity of the project has been re-established by other means, the REKTC in consultation with the relevant School may agree to reinstate the original registration without a new application.

Failure to enrol and fee debt

- F31. Where a registered candidate fails to enrol and to re-enrol from year to year as a student of the University, or where the candidate has not met his or her liability for tuition fees as undertaken at enrolment, and following the issue of reminders and a final warning to the candidate, the REKTC may withdraw the candidate's registration, including supervision and use of University facilities.

Annexe G

Ethics Approval Procedure for Research Degree Candidates

Introduction

- G1. All prospective research degree candidates are required to take into account any ethical dimensions of their proposed research from the outset, in accordance with the University's *Code of Practice Governing the Ethical Conduct of Research (the Ethics Code)*. University staff and students are responsible for complying with the Code, including the obtaining where necessary of Ethics Approval for their work from the relevant ethical approval body².
- G2. In completing the Application to Register for a research degree, candidates will be asked to declare any ethical implications of the research. Where prospective candidates and supervisors believe there to be current or prospective ethical dimensions in the research or where ethical dimensions become apparent later on during the conduct of the research itself, candidates and supervisors will bear individual responsibility for compliance with the Ethics Code and with any specific additional requirements of the Research Ethics Sub-Committee.
- G3. Where candidates have prior ethical approval for their research, for example from an external Ethics Committee such as an NHS Research Ethics Committee, this should be shown on the Application to Register for a research degree. In this case, the Research Ethics sub-Committee may not need any further information, except a copy of the original Ethics Application form and Approval Letter.
- G4. Candidates requiring approval from the Research Ethics Sub-Committee must complete the Ethical Approval Application Forms (which must be endorsed by the supervisors and School Research Director or nominee), in addition to the Application to Register for a research degree. These applications should be submitted at approximately the same time and formal notification of approval from both Committees must be received before those elements of the research requiring specific Research Ethics Sub-Committee approval are commenced.

Procedures

To obtain the necessary approvals for the ethical dimensions of proposed research degree work, candidates and their supervisors should observe and follow the principles and procedures set out below:

- G5. To ascertain, with the supervisory team, whether any ethical dimensions are prevalent in the proposed research or are likely to become prevalent during the conduct of this research.
- G6. In completing the Application to Register for a Research Degree, to take care in answering the questions in Section 10.3 correctly.

² Depending on the nature of the research and local structures, this may either be a University, School or external Ethics Committee or other relevant authority.

- G7. The Application to Register for a research degree and the Ethical Approval Application Form/s should be submitted to the respective committees at approximately the same time.
- G8. In responding to the application for ethics approval, the Research Ethics Sub-Committee will write to the student, the supervisor, and the Research Degrees Manager at the same time (although an external committee or authority may not copy all parties into its correspondence).
- G9. All conditions of ethical approval for current aspects of the study must be met by the candidate before Registration of the Research Degree can be approved by the REKTC.
- G10. Any changes to the research protocol subsequent to initial Ethical Approval and/or the Application to Register must be submitted to the relevant ethical approval body for additional approval before work commences on those stages of the research that have ethical dimensions. Please refer to the Ethics Code for further guidance: <http://www.westminster.ac.uk/research/rs/key-documents>.
- G11. Any changes to the research protocol which may subsequently necessitate Ethical Approval where it was not required or sought earlier must be declared to the relevant ethical approval body and work may not continue (on the aspects of the study where ethical dimensions have been identified as likely to exist) but shall be suspended until Ethical Approval has been obtained.
- G12. The supervisor and student are responsible for ensuring the Research Degrees Manager is kept informed of all ethical approval applications and their outcomes including suspensions or resumptions of work as directed by the relevant ethical approval body.
- G13. Failure to inform the relevant ethical approval body of any changes to the research protocol where Ethical Approval has already been granted where such changes may necessitate additional Ethical Approval, or to inform of changes to the work which necessitate new or additional Ethics Approval where this was not previously the case, may result in the suspension of the research by the ethical body.