

## **REGULATION 24 DOCTORAL PROGRAMMES**

### **1. General**

City, University of London confers doctoral awards, in line with the *Framework for Higher Education Qualifications in England, Wales and Northern Ireland* to candidates who can demonstrate:

- (i) *the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;*
- (ii) *a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;*
- (iii) *the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;*
- (iv) *a detailed understanding of applicable techniques for research and advanced academic enquiry.*

(Quality Assurance Agency (QAA), 2014).

City may confer one of the following awards to candidates who have successfully completed the requirements of an approved programme of study:

- Doctor of Philosophy (PhD)
- Doctor of Musical Arts (DMA)
- Doctor of Psychology (DPsych)
- Doctor of Health (DHealth)
- Doctor of Professional Practice (DPP)
- Doctor of Practice and Services Development (DPSD)
- Doctor of Journalism (DJourn)
- Doctor of Music (DMus)

Joint and dual awards for masters by research study and doctoral programmes may be made in accordance with any memoranda of agreement with a partner awarding institution.

### **2. Categories of study**

- (i) Candidates registering for a doctoral programme will fall into one of the following categories of study:

- (a) By major thesis

Candidates register for and pursue a programme of research study (which may include composition and performance) on either a part-time or full-time basis.

(b) By structured components

Candidates register for, and pursue a programme of structured research study consisting of a variety of doctoral level components (which may include composition and performance) on either a part-time or full-time basis.

(c) By prior publication

Candidates register for, and submit evidence of, a body of published work or portfolio of original creative work. Candidates shall in addition submit a critical analysis in support of the publications (normally no more than 20,000 words). This critical analysis shall be considered as part of the submission and shall be examined as such. Applicants for submission by prior publication are required to submit evidence of a body of published work which is likely to be of suitable type and quality. The applicant should be nominated by a member of City's professoriate who demonstrates a common research interest with the candidate. The structure of the portfolio should be approved by the appropriate Board of Studies and may include original creative work such as musical composition, choreography and/or audio/visual recordings of performances where appropriate.

(d) By professional study (professional doctorate programmes)

Candidates register for, and pursue a programme of study which may include taught, professional, practice and performance elements, and research either on a full time or part time basis. Professional doctorate programme specifications are approved by Education and Student Committee on behalf of Senate.

(e) By prospective publication

Candidates register for and pursue a programme of research study which may include composition and performance on either a part-time or full-time basis. Candidates prepare articles for publication in peer-reviewed academic journals as they proceed through their period of study. Candidates additionally write critical analyses which explore issues raised by the papers. In the thesis the published papers will be embedded in chapters which contain the accompanying critical analyses. Both the published papers and the accompanying critical analyses shall be considered as part of the submission and shall be examined as such. Candidates are awarded the degree on the basis of the articles that are published in peer-reviewed academic journals during their period of candidature as well as the accompanying critical analyses.

- (ii) Conferred awards will not indicate by which category the candidate has fulfilled the requirements of the programme of study.
- (iii) The powers of the Senate in relation to the development of programme schemes are delegated to the appropriate Board of Studies, and the approval of such schemes to Graduate School Committee, subject to such report being made as

the Senate may require. However, the Board of Studies or Graduate School Committee may, at its discretion, refer matters to Senate for discussion. The appropriate Board of Studies, subject to these Regulations and within policies laid down by Senate, shall regulate the procedures for consideration of applications to programmes of study and registration of candidates.

### **3. Registration of candidates**

- (i) Candidates register for and pursue a programme of research study (which may include composition and performance) on either a full-time or part-time basis. Candidates for submission by prior publication are by definition part-time. Fees reflect whether the student is full or part-time and whether research facilities and/or supervision are being provided in part by another institution or organisation instead of by City. Full-time students study for a minimum of two full calendar years following the date of registration, part-time students for a minimum of three full calendar years following registration. Candidates for the degree of PhD by publication should be registered as a student for a minimum of one year and a maximum of two years.
- (ii) Candidates may register for a doctoral programme in one of the following categories:
  - (a) Internal Candidates

Candidates are registered with City and receive supervision by staff appointed by City.
  - (b) External Candidates

Candidates are registered with City and receive supervision by external staff, recognised by City for this purpose. External candidates have at least one supervisor from City.
  - (c) Staff Candidates

Staff candidates of all categories are members of staff of City or retired members of staff. Staff candidates are subject to the same minimum and maximum periods of candidature as any other candidate registered under these Regulations. Supervision arrangements for staff candidates are the same as those for internal candidates.
- (iii) The Board of Studies shall decide the category of study, the registration category, the arrangements, and the examination arrangements.
- (iv) Applicants should follow application procedures laid down by the relevant Board of Studies (hereafter in this section to include its delegated subcommittee) which should be sent to the School in which the applicant wishes to register for consideration by the appropriate Board of Studies. The Board of Studies shall, provided it is satisfied as to the applicant's academic fitness for the course of research study, forward the application to the administrative department responsible together with its nomination of a supervisor or supervisors and such

other information as required. This shall include a short description of the subject of research, and recommendations on the category and effective date of registration. In the case of an applicant already registered for the Degree of Master of Philosophy at City, the effective date of registration shall normally be the date on which he or she was first registered for that degree.

- (v) A candidate who is neither a graduate of City nor already registered for a higher degree of City must, prior to the registration for an award, forward to the School/Department or Centre in which they intend to register the original certificate, or a certified copy of the original certificate, of the qualification on the grounds of which the application was submitted.
- (vi) All candidates pursuing doctoral level programmes shall be required to register annually. A candidate who is certified by the Board of Studies to have completed his or her programme of research shall not be required to pay further tuition fees but shall continue to register annually up to a maximum of four and seven years for full-time and part-time students respectively following the date of registration for the programme of study until his or her thesis is completed. The maximum period of candidature shall normally include any period of writing-up and is the date by which the thesis should be submitted for first examination. On the recommendation of the Board of Studies, this period may be extended. The candidate must submit an annual report on progress to his or her Internal Supervisor and the relevant Programme Director.

A candidate who is certified by the Board of Studies on the recommendation of his or her Internal Supervisor to have temporarily suspended his or her course of research shall not be required to pay tuition fees during the period of suspension but shall continue to register annually and in addition submit an annual report to his or her Internal Supervisor until his or her studies are resumed. A candidate who fails to register annually or who fails to submit an annual report as required by these Regulations will be assumed to have withdrawn his or her candidature.

- (vii) The category of registration for such a candidate, to which the tuition fee charge is related, shall have regard to whether he or she is a full-time or part-time student and also to whether research facilities and/or supervision are being provided in part by another institution or organisation instead of by City. The categories of registration shall be prescribed by Senate, and the Graduate School Committee shall regulate procedures for approving, on the recommendation of the Board of Studies concerned, the category of registration of each candidate and any changes in the category.

#### **4. Supervision of Research**

The research undertaken by a candidate shall be supervised by a member or members of the Academic Staff who shall be appointed on the nomination of the appropriate Board of Studies. Where the research involves the use of the premises of another institution, or industrial or commercial organisation, an additional supervisor from that institution or organisation shall be appointed. The supervisors shall be known as Internal Supervisors and External Supervisors, respectively.

#### **5. Transfer of Registration**

A student undertaking a doctoral level programme who, with the support of his or her Internal Supervisor, wishes to proceed instead to the degree of Master of Philosophy must apply for permission through the appropriate Board of Studies. The Board of Studies shall forward the application and its recommendation to the administrative department responsible. Support together with such other information as may be required. When the applicant is accepted as a candidate for a Masters level programme his or her previous registration shall be withdrawn.

## **6. Appeals against Decisions Concerning Registration Status**

- (i) A student who is dissatisfied with a decision made by the Board of Studies on his or her registration status may appeal against any such decision in accordance with the City's Appeal Regulations for Research Programmes [Senate Regulation 21].
- (ii) A candidate is expected to pursue any grievances concerning the adequacy of supervisory or other arrangements which arise during the period of study through City's Complaints Regulations.

## **7. Attendance and Other Work**

- (i) A candidate pursuing a course of full-time research may, by permission of his or her Internal Supervisor and with the agreement of the Head of Department in which the candidate is registered, undertake other appropriate work for not more than an average of six hours per week.
- (ii) A candidate pursuing a course of full-time research wholly or partly in another institution or organisation may be required to spend a minimum period of time to be specified by the Board of Studies on the recommendation of the Internal Supervisor of at least four full days each year at City. In addition, once in each academic year, he or she may be required by the Internal Supervisor to give a seminar at City on his or her research. Candidates pursuing the degree of PhD by Prior Publication are required to give a presentation to their department on their work which will not be assessed but which will be mandatory.
- (iii) A candidate pursuing a course of part-time research shall spend at least two days per week, or an equivalent time, on his or her research. This period shall not normally exceed fifteen hours of organised daytime study. Where the research is undertaken wholly or partly in another institution, the candidate may be required to spend a minimum period of time to be specified by the Board of Studies on the recommendation of the Internal Supervisor of at least four full days each year at City. In addition, once in each academic year, he or she may be required by the Internal Supervisor to give a seminar at City on his or her researches.

## **8. Academic Misconduct**

- (i) City actively pursues all cases of suspected academic misconduct. This safeguards the integrity of its awards as well as the interests of the majority of

students who work hard for their award through their own efforts. Decisions on the severity and extent of misconduct are matters of academic judgement.

- (ii) Academic misconduct is any action that produces an improper advantage for the student(s) in relation to his/her assessment or deliberately and unnecessarily disadvantages other students. It can be committed intentionally or accidentally. Definition of different types of academic misconduct can be found in the City's Assessment and Feedback Policy and the Framework for Good Practice in Research.
- (iii) The standards by which allegations of misconduct in research should be judged should be those prevailing in the country in question (where it not the UK) as well as in the UK and at the date that the behaviour under investigation took place.
- (iv) Academic misconduct by doctoral students is covered under these regulations. Academic misconduct by students undertaking a Masters degree by research is covered under Senate Regulation 23.
- (v) Non-academic conduct is covered under Regulation 13: Student Discipline.

#### Preliminary Investigation

- (vi) A member of staff who suspects academic misconduct has been committed should first follow any local procedures established at School, Department or Centre level. These local procedures should be focused on preliminary investigation and/or potential resolution. The procedures should be well- documented and communicated to all research students and staff supervising or supporting research students. The local procedures are overseen by the Senior Tutor/ Director of Research.

Outcomes from preliminary investigations may include:

- (a) Offering the student the opportunity to resolve the issue by correspondence if both sides are in agreement about the facts.
- (b) Inviting the student to a meeting to explain the charge and discuss potential ways forward.
- (c) Giving the student a warning (written or verbal) that any future occurrences would be dealt with by an Academic Misconduct Panel.
- (d) Holding a viva for the student.

If the case is not resolved at this stage, including if the student disputes the charge, it should be referred to an Academic Misconduct Panel.

#### Academic Misconduct Panel

- (vii) When local procedures have been exhausted a Panel for considering cases of academic misconduct will be established. The Panel shall include three members of academic staff appointed by the Associate Dean (Research/Research Students) or nominee by virtue of:

- (a) their independence from the preliminary investigation

- (b) their expertise and experience in research methods and conduct
- (viii) The student will be invited to attend the hearing and may choose to be accompanied. If accompanied, the student is expected to speak on his/her own behalf. The student may present his/her case to the Panel in writing if s/he wishes. The student may also respond to any evidence used by the Panel.
- (ix) If a student decides to attend in person but does not subsequently attend the meeting, and has not given adequate reasons for this in advance, the Panel may continue in the student's absence
- (x) The Panel shall investigate each case and decide whether or not academic misconduct has taken place. The Panel is not required to prove intent but instances of deliberate fraud may carry more severe sanctions.
- (xi) If academic misconduct has not taken place no further action is taken and no note is entered on the student's record. The notes of the Panel are retained. The assessment process is resumed in the normal way. If a student has committed poor academic practice this should be taken into account during the assessment process as normal.
- (xii) If academic misconduct has taken place the Panel must decide an appropriate sanction to recommend to the Board of Studies. Different sanctions exist to accommodate different levels of academic misconduct. Recommendations as to sanctions should be based on the following facts:
  - (a) The instance of the misconduct (first or subsequent).
  - (b) The extent of the misconduct (major or minor). This is a decision based on academic judgement.
  - (c) Whether the misconduct was deliberately fraudulent.
- (xiii) The Panel may also take into account any extenuating or mitigating circumstances in determining the recommended sanctions.
- (xiv) The reasons for the recommendation must be clearly recorded. The Panel must also make clear the rationale for any deviations from sanctions that are the norm for a given type of misconduct. The sanctions a Panel may recommend are:
  - (a) Minor first instance: requirement that amendments are carried out to the satisfaction of the Board of Studies
  - (b) Major first instance or subsequent minor instance: requirement that amendments are carried out to the satisfaction of the Board of Studies and external examiner
  - (c) Major first instance or subsequent instance (major or minor): requirement that amendments are carried out to the satisfaction of the Board of Studies and external examiner as well as presentation for a further oral examination
  - (d) Subsequent instance (major or minor): that the candidate be referred to City's Disciplinary Panel. Sanctions City's Disciplinary Panel may apply for academic misconduct are set out in the Student Discipline Regulation (See Senate Regulation 13).
- (xv) In addition, the Panel may recommend that the student undergo training in good

academic practice.

- (xvi) Where the Panel considers that the case is serious enough to warrant a sanction greater than those it is able to recommend, it may ask that the case be dealt with under City's Student Discipline Regulations (see Senate Regulation 13). The Panel may recommend a sanction it considers appropriate for consideration by City Disciplinary Panel. Sanctions the Panel may recommend include any of those listed in the Student Discipline Regulations.
- (xvii) Where programmes are PSRB-accredited and a student is found to have committed academic misconduct, the disciplinary and/or conduct procedures of the PSRB may apply in addition to those of City.

### Outcomes

- (xviii) The Panel shall report its decisions and recommendations, with reasons, to the Board of Studies.
- (xix) The Board of Studies shall normally only consider requests for consideration of academic misconduct received via the Panel. The decision of the Panel as to the finding of academic misconduct is not open to further consideration by the Board of Studies. However the Board shall consider the recommendations of the Panel as to the action to be taken and when making recommendations concerning progress and award.
- (xx) Where the case is being considered under the Disciplinary Regulations the Board of Studies shall note any recommendations made by the Panel but shall suspend implementation of them pending the outcome of the disciplinary process.
- (xxi) Reports on serious misconduct will be made to regulatory, statutory or professional bodies, host organisations and funding bodies where this is required or is in the public interest. All reporting will be done in accordance with the Data Protection Act 1998 and only once the internal procedures have been completed. The student will be informed before notifications are made.
- (xxii) The outcomes of academic misconduct cases will be reported to Senate and a record retained.
- (xxiii) City reserves the right to use technology to detect and/or follow up cases of suspected academic misconduct and may also be used as part of your School, Department or Centre's routine procedures for managing research degrees.

## **9. Submission of Thesis or Published Papers**

- (i) Notice of intention to submit for a doctoral level award shall be given to the administrative department responsible on the appropriate form at least three months before the intended date of submission.

The thesis may be submitted at any time between the minimum period of candidature specified in clause 3(i) of these regulations and before the end of the maximum period of candidature specified in clause 3(vi) of these regulations,

except where the Board of Studies has permitted submission at a later date.

- (ii) Where published papers are submitted, the submission shall include a paper which presents a reasoned argument in support of the published papers. This should place the work in its overall context, demonstrate the coherence and contemporary relevance of the work, describe the implications for future research and critically evaluate its strengths and weaknesses. Work for which a degree or other qualification has been awarded may not be submitted. Theses shall be in English. Candidates submitting published papers shall provide copies in English of any papers published in another language. Joint work may be submitted as a thesis, published papers or performance recordings provided it is accompanied by a statement countersigned by the collaborator or collaborators indicating clearly the candidate's share of the work.
- (iii) Two copies of the thesis, together with an electronic copy (in "read-only" format), reproduced and bound in conformity with City Regulations, shall be submitted to the School/Department or Centre in which the candidate is registered together with a certificate signed by the candidate's supervisor or supervisors stating that the candidate has completed his or her studies in accordance with the regulations.
- (iv) All submissions, whether of a thesis or of papers, shall include a short abstract comprising not more than 300 words and bound with each copy of the submission. The abstract shall provide an adequate and informative summary of the thesis and be in a form suitable for publication by City.
- (v) Candidates submitting by prior publication will need to demonstrate through this medium an original and significant contribution to knowledge. Five areas are paramount:
  - a) critical appraisal of previous work
  - b) design and methodology for investigation(s)
  - c) conduct/execution of research
  - d) analysis of data evidence or outcomes
  - e) theoretical interpretations.

## **10. Examiners**

- (i) Upon receipt of the notice of intention to submit from a candidate the Board of Studies shall nominate Examiners for that candidate and shall pass the nominations to the administrative department responsible.
- (ii) For internal and external candidates, there shall be at least two Examiners, of whom at least one shall be an external examiner. For staff candidates, two Examiners shall be appointed, both of whom shall be External Examiners.

## **11. Examinations**

- (i) A candidate shall be required to present himself or herself for an oral examination on the subject of his or her thesis or published papers unless, by permission of the Senate, on the recommendation of the Examiners, he or she is exempt from

the oral examination.

- (ii) The Examiners may agree to recommend either
- a) that the candidate be awarded an appropriate doctoral level degree drawn from clause 1 of these regulations;
  - b) that a doctoral level award be made subject to typographical amendments being carried out to the satisfaction of the internal examiner within 1 month
  - c) that a doctoral level award be made subject to amendments being carried out to the satisfaction of the internal and/or external examiner within 3 months without the need for presentation for a further oral examination
  - d) that a doctoral level award be made subject to amendments being carried out to the satisfaction of the internal and/or external examiners within 6 months with or without the need for presentation for a further oral examination
  - e) that a doctoral level award be made subject to amendments being carried out to the satisfaction of the examiners within 12 months with or without the need for presentation for a further oral examination
  - f) that the candidate be awarded a Masters Level qualification in accordance with clause 11 of Senate Regulation 23
  - g) that the candidate be not awarded a degree
- (ii) A candidate permitted to resubmit his or her thesis or published papers shall be required to do so within 1 to 12 Months of the oral examination unless, in exceptional circumstances, a longer period is recommended by the Examiners.
- (iii) The report of the Examiners shall be sent to the relevant School/Department or Centre of City and the appropriate Board of Studies shall be notified the outcome of the examination.

## **12. Resubmission and Re-Examination of Thesis**

- (i) The term 'resubmission' refers to those instances where a research candidate has been assessed and is required to amend and resubmit their thesis (with or without the need for an additional viva voce) for further examination. Except in certain cases of appeal, re-examination should normally be undertaken by the original examiners.
- (ii) The examiners may agree to recommend
- a) that the candidate be awarded an appropriate doctoral level degree drawn from clause 1 of these regulations;
  - b) that the candidate be awarded an appropriate doctoral level degree drawn from clause 1 of these regulations subject to minor amendments being carried out to the satisfaction of the internal examiner. Such amendments are required to be completed in no more than 4 weeks of the re-examination and include the following:
    - Typographical errors;
    - Minor amendments to text;
    - References or other diagrams or

- More extensive corrections that do not require significant reworking of the intellectual content of the thesis;
- c) That the candidate be awarded a Masters Level qualification (see regulation 23);
- d) That the candidate be awarded an appropriate Masters level degree drawn from clause 1 of the City's regulations for Masters Degrees by Research subject to minor amendments being carried out to the satisfaction of the internal examiner. Such amendments are required to be completed in no more than 4 weeks of the re-examination and may include the following:
- Typographical errors;
  - Minor amendments to text;
  - References or other diagrams or
  - More extensive corrections that do not require significant reworking of the intellectual content of the thesis;
- e) That the candidate be not awarded a degree.

### **13. Posthumous Award**

- (i) A Board of Studies may recommend to City that the award of a posthumous research degree be made where a candidate has died:
- after the thesis has been examined but before the oral examination can be held. In such a case the Board of Studies shall consider the material presented and any preliminary judgment of the examiners. Provided that the Board of Studies is satisfied that the work is the candidate's own, and that it meets the standard normally required for the proposed research degree to be awarded, it may recommend to City that an appropriate award be made.
  - before submitting the thesis. In such a case the Board of Studies shall consider the available evidence of the research completed to date by the candidate. Such evidence shall normally be provided by the candidate's main supervisor. Examiners shall be nominated and approved by the Board of Studies. The Examiners shall be advised of the circumstances under which the material shall be examined and shall be asked to provide an independent assessment of the material presented. The Examiners shall be asked for an opinion on whether the quality of the research is sufficient to warrant the award of a research degree. The following criteria must be satisfied:
    - a) enough of the research project must have been completed to allow a proper assessment to be made of the scope of the thesis;
    - b) the standard of the research work completed must be of that normally required for the award of the degree in question, and must demonstrate the candidate's grasp of the subject;
    - c) the written material available must demonstrate the candidate's ability to write a thesis of the required standard.

- (ii) City may award a posthumous research degree drawn from either clause 1 of these regulations or from clause 1 of the City's regulations for Masters Degrees by Research, regulation 23.

#### **14. Appeals against the Outcome of an Examination**

- (i) A student may request a review of the Examiners' decision in accordance with the City's Appeal Regulations for Research Programmes [Senate Regulation 21].
- (ii) A candidate is expected to pursue any grievances concerning the adequacy of supervisory or other arrangements which arise during the period of study through the City's Complaints Regulations.

Approved by Senate 22.10.80, 27.6.86, 11.3.87, 2.12.87, 11.3.92, 14.5.97, 14.6.00, 13.06.01, 29.09.04

Approved as a regulation (Senate) 4/4/07

Approved as a regulation (Senate) 27 June 2012

Amended and approved by Senate 13 July 2016

## **Guidance – responsibilities within the Regulations**

The following administrative departments are responsible for various components of the Regulations:

Processing applications [Clause 3]: Academic Operations

Processing applications for transfer of registration [Clause 5]: Academic Operations

Receiving notice of intention to submit [Clause 8]: School/Department or

Research Centre

Receiving notice of examiners [Clause 9]: School/Department or

Research Centre and Student and Academic Services