

Regulation 24

Doctoral Programmes

A. Introduction

1. In this regulation “you”, “your” and “yours” means a student registered for a research degree awarded by City, University of London. “We”, “us” and “our” means the University or any of its staff, depending on the context.
2. The regulation sets out the core principles, structures and process that underpin the award of a research degree, aligned with Level 8 of the [Sector-recognised standards \(officeforstudents.org.uk\)](http://officeforstudents.org.uk), and the FHEQ: [The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies \(gaa.ac.uk\)](http://gaa.ac.uk), by the University.
3. This regulation should be read in conjunction with, in particular:
 - a. Framework for Research Degrees, which sets out the scheme of delegation between University Senate, the City Doctoral College and academic Schools and Departments
 - b. The Programme Specification for the doctoral programme in the area of study
 - c. Supplementary policies and guidance, as contained in the University's webpages.

B. Award of a degree

4. City will confer one of the following awards to candidates who successfully complete the requirements of an approved programme of research:
 - a. Doctor of Philosophy (PhD)
 - b. Doctor of Musical Arts (DMA)
 - c. Doctor of Psychology (DPsych)
 - d. Doctor of Health (DHealth)
 - e. Doctor of Professional Practice (DPP)
 - f. Doctor of Practice and Services Development (DPSD)
 - g. Doctor of Journalism (DJourn)
5. The awards listed above may be supplemented by the addition of a named award title. Where two or more disciplinary specialisms feature in the named award title, there should be an appropriate balance of emphasis on each subject area. For instance, approximately equal balance for a joint (A and B) title and, for major/minor (A with B) titles, the minor discipline accounts for at least a quarter of the programme.
6. Where more than one named award title is outlined, there shall be tangible and explicit differentiation in programme aims, structure and/or research emphasis that is specific to each named award. The University Programme Approval Committee will ultimately confirm the appropriateness of award title(s).
7. Joint and dual awards for doctoral programmes are to be made in accordance with any memoranda of agreement with a partner awarding institution.
8. The University's Framework for research degrees apply equally to partnership and validation provision unless different and specific arrangements have been agreed as part of the formal agreement between institutions or as approved via the relevant

Course Board or Board of Study that oversees the partnered or validated programme.

9. The approval of new awards and development of new programme schemes is delegated by Senate to the relevant School Programme Review Committee and associated City Programme Approval Committee, with oversight by the Doctoral College Board of Studies. The Committees and Board can, at their discretion, refer matters to Senate for discussion.

C. Admissions

10. This regulation should be applied in conjunction with:
 - a. [Senate Regulation 14](#) on Admission of Students and Occasional Students;
 - b. The University's [Admissions Policy for Research Degrees](#);
 - c. Any other policies for admission which cut across all City students, under the responsibility of the University's Admissions Office.
11. You must follow all general entrance requirements, as set out in the above documents, along with any research programme-specific requirements as set out in the programme specification or the University's online prospectus.
12. You are normally expected to hold, or achieve before admission, an upper second- class or first-class honours degree or Master's degree in a relevant subject, or an equivalent overseas qualification. If you are not a graduate of City or currently enrolled at City, you will be required to send an original or certified copy of the certification for your qualification(s) to the School or Department.
13. If you hold other non-standard qualifications or equivalent professional experience, they will be approved on a case-by-case basis, with the departmental Senior Tutor for Research making a recommendation to the School Research Programmes Committee and Doctoral College Board of Studies for consideration.
14. If you satisfy the requirements for admission, your candidature is also dependent on us being satisfied with your research subject and that we have the appropriate resources, facilities, and supervisory arrangements in place to allow your enrolment.
15. You should follow the application procedures as set out on the programme webpages and programme specification for the programme. The School in which the programme is based will, provided it is satisfied with your academic fitness for the programme of research, recommend your application for admission to the School Course Officer and Doctoral College Board of Studies, along 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. If you are already registered for the Degree of Master of Philosophy at City, the effective date of registration shall normally be the date on which you were first registered for that degree.

D. Mode of Study/Category of Registration

16. You can enroll on either a full-time or part-time basis. Candidates for a Doctor of Psychology (DPsych) can only enroll on a full-time basis (see Category of Study below). Candidates for a PhD by Prior Publication can only enroll on a part-time basis.

17. If you are a full-time candidate, you are expected to dedicate a full working week (35 hours) to your doctoral programme on average throughout the year, except when on approved annual leave.
18. A full-time candidate may, with the permission of their internal supervisor and Head of Department, undertake additional paid work providing that this is not detrimental to the progress of your PhD. Note that student visa holders may be subject to additional limits on the amount of work that may be undertaken and you should check with the International Student Advice team before engaging in any such work if you are unclear about the government limits currently in force.
19. If you are part-time candidate, you are expected to dedicate at least 16 hours (equivalent to two working days) to your doctoral programme on average throughout the year, except when on approved annual leave.
20. You can change your mode of study from full-time or part-time, or vice versa, during your period of study if the programme allows part-time study. This will usually only be allowed once, and not normally in your final year of study. Where this is a requirement of your funder, their rules will apply.
21. The duration of each doctoral programme is set out in the following table:

Degree	Minimum length of candidature		Maximum length of candidature (including writing-up)	
	Full-time	Part-time	Full-time	Part-time
PhD (standard route) DMA DMus	2 years	3 years	4 years	7 years
DPsych	3 years		4 years NB The total allowed length of the course is 7 years to accommodate interruptions or repeats during the taught phase of the programme and the optional research year	
PhD (by prior publication)		1 year		2 years
MPhil	1 year	2 years	3 years	5 years

22. Your period of candidature ends when you submit your thesis for examination.
23. If you fail to submit your thesis for examination by the maximum period of candidature, you will be deemed to have withdrawn from your degree.
24. You can register for a doctoral programme in one of the following categories:
 - a) Internal Candidates

You are registered with City and receive supervision by staff appointed by City. b)

b) External Candidates

You 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, except where the research programme is delivered by a validated partner institution.

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.

25. If you are registered as an external candidate, you can be based overseas, provided there are the appropriate resources, facilities and supervisory support to carry out your research satisfactorily to completion. You are required to spend a minimum of four days per year at City, to include meeting with your internal supervisor and giving a presentation on your research. City does not offer research degrees entirely by distance learning.

E. Category of study

26. Your doctoral programme will fall into one of the following categories of study:

a) By major thesis

You 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

You 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

You 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 Doctoral College Board of Studies and may include original creative work such as musical composition, choreography and/or audio/audio visual recordings of performances where appropriate.

You will need to demonstrate through this medium an original and significant contribution to knowledge. Five areas are paramount:

- i. critical appraisal of previous work
- ii. design and methodology for investigation(s)
- iii. conduct/execution of research

- iv. analysis of data evidence or outcomes
- v. theoretical interpretations.

d) By professional study (professional doctorate programmes)

You 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 if the programme allows changes to mode of study. Professional doctorate programme specifications are approved by University Programme Approval Committee on behalf of Senate.

e) By prospective publication

Candidates register for and pursue a programme of research, which may include composition and performance, on either a full-time or part-time basis. Candidates prepare articles or other works for publication in peer-reviewed academic journals, or professional equivalent, as they proceed through their period of study. In addition, candidates must critically analyse the issues raised by the articles or other works.

In the thesis, the published articles may be embedded within chapters which also contain the critical analysis, or they may be interspersed among chapters written in traditional thesis style. Whichever format is chosen, it is essential that the final result conveys a logical and complete summary of the research undertaken and a clear explication of the outcomes. This will also apply to manuscripts in preparation and those under review. All elements of the thesis shall be considered as part of the submission and shall be examined as such.

27. Your conferred award will not usually indicate under which category you fulfilled the requirements of your programme of study.

F. Supervision

28. You will be allocated a supervisory team, nominated by your School to the Doctoral College Board of Studies. Your supervisory team will consist of at least two members of City staff, except on the Professional Doctorate in Counselling Psychology where one supervisor is appointed. Where you are undertaking research at or in conjunction with another institution, industrial partner, or commercial organization, an additional supervisor can be appointed to the team. Supervisors based at City or outside of City will be distinguished as Internal and External Supervisors, respectively.
29. Where you are undertaking research at or in conjunction with another institution, industrial partner, or commercial organization, you may alternatively have a Consultant designated, who does not have a contractual relationship with the University but may provide specialist advice on a particular area of research which is outside the expertise of the supervisory team.

Your first supervisor will be an academic member of City staff, in accordance with the criteria for a Category A Supervisor as set out in the University's policy on [Doctoral Degree Supervisors policy](#). Their employment contract must be valid for the typical duration of candidature; staff on probation or a professor emeritus may not act as first supervisor. External supervisors may not act as the first supervisor.

30. Your second supervisor will be either an academic member of City staff or affiliated to

the University with a formal contract, in accordance with the criteria set out for at least a Category B Supervisor as set out in the University's policy on [Doctoral Degree Supervisors policy](#).

31. New supervisors, changes to a supervisor's category, and changes to the supervisory team during the period of candidature are approved by the Doctoral College Board of Studies.
32. If you are taking a research degree which includes a substantial taught element, you will be assigned tutor(s) relevant for that phase of the degree. These tutors may additionally act as supervisors for the research phase, where they meet the University's criteria for approval as doctoral degree supervisors.
33. The supervisory team is responsible for supervision of the design and progress of the research project and for providing academic advice, as well as ensuring required administrative processes are completed during the period of candidature.
34. In the first three months of candidature, you must complete a Training Plan in conjunction with your supervisors. Throughout your programme, you are also expected to participate as appropriate in the compulsory and optional elements of the University's Doctoral Researcher Development Programme, as specified by Schools and the Doctoral College in relation to your programme of study.

G. Progression

35. You are required to (re)-register for your programme annually and must undertake progression reviews at fixed points during your period of candidature. Your first review will take place at 6 months, and you may not be withdrawn because of this review. Following this, you will complete an Annual Progress Review. If, following a second attempt at an Annual Progress Review, your progress is deemed to be unsatisfactory, your School may recommend your withdrawal to the Doctoral College Board of Studies.
36. Your Department or School may review your progress at any other time. If progress is deemed unsatisfactory and, after warning and an opportunity to improve, it remains insufficient, your School may recommend your withdrawal to the Doctoral College Board of Studies.
37. You may appeal against a decision made in relation to your progression and, where appropriate, withdrawal in accordance with [Senate Regulation 21](#).

H. Transfer of registration from MPhil to PhD

38. You will initially be registered on a MPhil/PhD programme (or equivalent), and will be transferred to the intended doctoral-level award following successful completion of the Transfer of Registration process, as set out in the [policy on transfer of registration](#).
39. If you do not successfully complete the required transfer process, you may be offered the opportunity to submit for a master's degree by research, in accordance with [Senate Regulation 23](#).

40. If you have transferred into City from another institution, your requirement to complete the transfer process may be waived, subject to serving a minimum 12- month period of candidature prior to submission of thesis for examination.
41. At any point, you may transfer to a programme leading to the award of an MPhil, subject to the approval of your School and Doctoral College Board of Studies. Your period of candidature to date will be counted towards your period of candidature required for the MPhil, though your previous registration will be withdrawn.

I. Transfer to writing up

42. You may request to transfer to writing-up once you have completed your minimum period of candidature, your research activity and/or data collection, and you no longer require supervision. Transfer to writing-up is an academic judgement made on the recommendation of your supervisors to the Doctoral College Board of Studies.
43. Once you have transferred to writing up, you will only receive minimal supervision required to complete and submit your thesis within your maximum period of candidature.
44. You are not required to pay fees in writing-up status beyond an initial registration fee of £300. This fee may be waived by your School under certain circumstances.
45. If you do not submit for examination within twelve months (eighteen months for part- time students) and your maximum period of candidature has not elapsed, you will revert to normal registration status and be liable for full tuition fees.

J. Interruption of Studies

46. You are expected to remain registered and have a continuous period of candidature, except in circumstances where an interruption of studies is approved by the Doctoral College Board of Studies in accordance with the [University's policy on Interruption of Studies \(Research Degrees\)](#).
47. Candidates for a doctoral programme will typically only be permitted up to two periods of interruption of between 3-12 months each to ensure the currency of the research project. These limits do not apply to periods of parental leave. If you are holding a studentship, the rules on interruptions stipulated by your funding body will apply.
48. A period of interruption will not count towards the maximum period of candidature.
49. You will neither receive supervision during a period of interruption nor be expected to complete scheduled progression milestones, but you will retain access to IT and library facilities.
50. If you are a student visa holder, an interruption of studies may affect your ability to remain in the UK as per the conditions of your visa, and you should discuss your circumstances with the University's Visa Advice team before applying for an interruption.

K. Extension of Candidature

51. You are expected to complete your research project and submit for examination within the minimum and maximum periods of candidature for your intended award. In a limited set of circumstances, you may be permitted by the Doctoral College Board of Studies to extend your period of candidature in accordance with the University's [policy on Extension of Candidature \(Research Degrees\)](#).
52. Extensions of candidature will normally only be permitted once you have transferred to writing-up status, and approved for six months in the first instance, renewable on one further occasion.
53. We will take into consideration any limits or conditions placed on extensions by your funding body (if you are a studentship holder) and their expectation of submission within a specific funded period, as well as any penalties or sanctions that may apply to the University from the funding body if we allow you to extend your candidature.

L. Notification of Withdrawal

54. You may choose to withdraw from your doctoral programme, in accordance with our [policy on Notification of Withdrawal](#). You will be liable for fees until such point as your withdrawal is approved by the Doctoral College Board of Studies.
55. We may also initiate your withdrawal, subject to approval by the Doctoral College Board of Studies, because of:
 - the recommendation of an Annual Progress Review or MPhil to PhD Transfer due to poor academic progress, having been given a second opportunity to improve and resubmit for the same milestone;
 - the recommendation of a progress review convened by the School due to significant academic concerns;
 - the outcome of an academic misconduct or research misconduct panel;
 - non-academic misconduct, in accordance with [Senate Regulation 13](#);
 - lack of contact/engagement with the University (over 3 months);
 - failure to submit the thesis for examination by the end of the maximum period of candidature.
56. You may appeal a decision to be withdrawn in accordance with [Senate Regulation 21 on appeals for Research Programmes](#).

M. Examination

The Doctoral Degree Examination policy (accessible on the [Doctoral Researcher policies • City, University of London](#)) gives details about the preparation of your thesis and the viva voce examination. The policy is aligned with this Regulation.

The examination process must be organised using City's online system for managing doctoral students. The key stages in the examination process must be approved by the Doctoral College Board of Studies upon the recommendation of the School Research Degrees Programme Committee or equivalent, and the Senior Tutor for Research.

N. Notification of Examination Outcome

57. If the Examiners wish to advise you orally and informally of their decision at the conclusion of their deliberations following the examination, it is on the basis that the result is not formal and final until confirmed and notified by a letter from the

University to you.

58. A letter will be sent to you officially informing you of your result.

O. Appeals against the outcome of an examination

59. You may request a review of the Examiners' decision in accordance with the City's Appeal Regulations for Research Programmes (see [Senate Regulation 21](#)).

60. You are 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 (see [Senate Regulation 26](#)).

P. Posthumous Award

61. Posthumous Awards are approved by the Director of Student and Academic Services, upon the recommendation from Doctoral College Board of Studies, on behalf of Senate. All decisions are reported to Senate. The Doctoral College Board of Studies may recommend that the award of a posthumous research degree be made where a candidate has died:

- a) 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 that an appropriate award be made.
- b) 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 Doctoral College Board of Studies. The Examiners shall be advised of the circumstances under which the material is being 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:
 - enough of the research project must have been completed to allow a proper assessment to be made of the scope of the thesis;
 - 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;
 - the written material available must demonstrate the candidate's ability to write a thesis of the required standard.

62. We may award a posthumous research degree drawn from Clause 4 of these regulations or Clause 4 of Senate Regulation 23. The Doctoral College Board of Studies will make a recommendation to the Director of Student and Academic Services, where this is the case, who may approve on behalf of Senate.

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

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