

TRANSFER OF REGISTRATION FROM MPHIL/PHD TO PHD (OR EQUIVALENT)

Equality and Diversity statement

City, University of London is committed to promoting equality, diversity and inclusion in all its activities, processes, and culture, under its Public Sector Equality Duties and the Equality Act 2010. This includes promoting equality and diversity for all, irrespective of any protected characteristic, working pattern, family circumstance, socio-economic background, political belief or other irrelevant distinction.

Where relevant to the policy, decision-making panels will ensure a reasonable gender balance (with at least one man and one woman) and will actively consider representation of other protected groups.

December 2022

Transfer of Registration from MPhil/PhD to PhD (or equivalent)

1. In this policy “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. This policy sets out the procedure by which a postgraduate researcher enrolled on a programme of study leading to the award of a PhD (or equivalent) will be assessed on their progress and their intended award confirmed as a PhD (or equivalent). The following statements should be read alongside the University’s Regulations for Doctoral Programmes ([Senate Regulation 24](#)) and Masters Degrees by Research ([Senate Regulation 23](#)). The statements are intended to provide further clarity on the policies and processes that assure the quality and enhancement of research degree provision across the University and which are outlined in the [Research Degrees Framework](#).
3. The University's Research Degree Framework and Regulations apply equally to partnership provision unless different arrangements have been agreed between the University and the partner institution and have received University approval. Details will be set out in the Memorandum of Agreement for the partnership and in information provided to students.
4. Any application for Transfer of Registration from MPhil/PhD (or equivalent) requires approval from the Doctoral College Board of Studies on the recommendation of the Senior Tutor for Research and School Research Programmes Committee.

Principles

5. You are registered initially as a MPhil/PhD student (or equivalent) except in those circumstances where you have transferred from another institution and have provided suitable and appropriate evidence that permits direct registration as a PhD student (or equivalent);
6. Your Assessment for the Transfer of Registration from MPhil/PhD to PhD (or equivalent) will normally be undertaken at 12 months and no later than 18 months for full-time students and normally at 24 months and no later than 36 months for part-time students. from the original date of registration. The date of assessment for any students who have transferred registration from full to part-time study, or vice versa, will be calculated pro-rata;
7. Your application for the Transfer of Registration from MPhil/PhD to PhD (or equivalent) may only be recommended after appropriate assessment on your progress has been undertaken. Means of assessment will be subject-specific but may include:
 - i. written submission, such as draft chapters including literature review and;
 - ii. statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge and/or;
 - iii. oral presentation to peers and;
 - iv. oral examination.

8. The body of evidence submitted in support of your application for Transfer of Registration will normally be assessed by a minimum of two members of academic staff who are not part of your supervisory team (who may be from outside your Department or Research Centre), including the Senior Tutor for Research for your programme (or nominated alternate, where they form part of your supervisory team). An academic member of staff external to the University may be used in the place of any of the other assessors. For candidates who are members of University staff, at least one assessor must be an academic external to the University.
9. Schools should consider the expertise (subject knowledge) and experience (previous experience of supervising doctoral researchers to successful completion) of the Transfer panel, as well as the panel's gender balance. All assessors should hold a postgraduate research qualification of their own as a minimum to make an informed assessment of the candidate's potential to reach the required PhD standard.
10. Conflicts of interest, where the examiner(s) have a professional or personal interest in the outcome of the examination, must be avoided, or declared as part of the nominations process in order that advice can be taken. Examples include:
 - i. The assessors have collaborated or co-authored with the candidate
 - ii. The assessors have collaborated or co-authored with the supervisory team at any time in the previous five years
 - iii. The assessors own work forms a significant part of the thesis
 - iv. Any external assessor has a formal relationship with the department which may have brought them into contact with the candidate (e.g. honorary visiting professor)
 - v. There is a personal relationship (e.g. sexual, romantic and/or familial) between the assessors(s), supervisors, or candidate
 - vi. Where the research project involves collaboration or funding with an external partner, that the assessors are not independent of this relationship
 - vii. An external assessor who has a direct commercial interest in the outcomes of the research
 - viii. An external assessor has previously worked at City, University of London (within the last 5 years)
 - ix. The assessors have acted as a personal tutor, or dissertation supervisor to the candidate as part of a previous taught programme (this may be at a previous institution)
11. You must demonstrate the following:
 - i. the ability to present material in a coherent manner;
 - ii. the ability to critically evaluate literature within your particular discipline;
 - iii. the ability to evaluate and re-evaluate your contribution to the field of research;
 - iv. the ability to communicate your research to peers;
 - v. the ability to manage the project;
 - vi. that the project being undertaken is of sufficient scope, originality and theoretical interest to constitute a genuine contribution to the subject.
12. If you do not meet the requirements for Transfer of Registration from MPhil/PhD to PhD (or equivalent) to be recommended, you will be advised in writing of the following:
 - i. a clear written statement of the reasons why it was not recommended that you transfer registration;

- ii. guidance on how you may reach the required standard; iii. a date by when the recommendation will be reviewed.
13. In the event that Transfer of Registration from MPhil/PhD to PhD (or equivalent) is not recommended upon re-assessment, you will be advised of the outcome in writing and of your right to appeal against registration category.

Annex A

Guidelines for Doctoral Students who Fail the Transfer from MPhil to PhD

1. The decision for transfer from MPhil to PhD, commonly referred to as upgrade, will be an academic decision made by assessors appointed according to the Transfer of Registration from MPhil to PhD Policy.
2. Students who fail to meet the requirements for transfer from MPhil to PhD at first attempt shall be given clear written reasons for the decision and guidance on how to reach the required standard (section 12 of the Transfer of Registration from MPhil to PhD Policy).
3. Students who fail to meet the requirements for transfer from MPhil to PhD at first attempt will be given a second attempt normally after 3 months and no later than 6 months after the date of the first assessment.
4. The requirements for resubmission – written submission, oral presentation, oral examination, thesis plan – will be made clear to the student immediately following the first assessment and then recorded on Research Manager.
5. The assessors for transfer should remain the same, in line with the appointment of examiners for a PhD viva, unless there are exceptional reasons necessitating a change.
6. Students who are judged not to have met the requirements for transfer from MPhil to PhD at second attempt will be:
 - a. given clear written feedback about why they have failed to satisfy the assessors for upgrade from MPhil to PhD
 - b. counselled by their supervisory team about the potential to continue the work for a MPhil degree, including content and timeline
 - c. given details of their right to appeal against the registration category (section 13 of the transfer policy)
 - d. counselled by their supervisory team about options should they decide to leave the programme, including whether there is publishable material from the work to date, transferring to another institution, and careers advice.

[Guidelines approved by CDC BoS: 11th May 2023]

| Policy Title | |
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| Transfer of registration from MPhil/PhD to PhD (or equivalent) | |
| Policy Enabling Owner and Department | Responsible for Implementation and Department |
| Doctoral College | City Doctoral College, Schools |
| Approving Body | Date of Approval |
| Senate, upon recommendation from Doctoral College Board of Studies | June 2012 (Education Committee) February 2022 (CDC BoS) |
| Last Reviewed | Review Due Date |
| December 2022 | December 2025 |
| Publication of Policy <i>(tick as appropriate)</i> | |
| For public access online (internet)? <input checked="" type="checkbox"/> | For staff access only (intranet)? <input type="checkbox"/> |
| Queries about this policy should be referred to | |
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