

UCL Academic Manual 2024-25

Chapter 5: Research Degrees Framework

Part I: IOE MPhil/PhD Regulations for Students entering before September 2015

Covering MPhil/ PhD students at the UCL Institute of Education who first enrolled on their programmes before September 2015.

IOE MPhil/ PhD students enrolling from September 2015 onwards are subject to the UCL regulations for research degree students in Chapter 5, Part A of the UCL Academic Manual.

Continuing IOE MPhil/ PhD students are also subject to the *IOE Code of Practice for Research Degrees* and to the *UCL Research Governance and Ethics Policies and Procedures*.

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MPhil/ PhD Regulations

1. Introduction

1.1 These Regulations govern the conduct and award of the degrees of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD), including the PhD by Publication and the degrees of Master of Philosophy and Doctor of Philosophy with Integrated Research Methods Training (hereinafter called the Integrated MPhil/PhD).

1.2 The regulations are made subject to the *IOE General Academic Regulations 2014-15*, the *IOE Assessment Regulations for Students 2014-15* and all other relevant regulations, policies and procedures of UCL.

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *IOE General Academic Regulations 2014-15* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *IOE General Academic Regulations 2014-15*.

3.2 The normal minimum entrance requirements for admission to an MPhil or PhD is either:

3.2.1 a first or upper second class honours degree obtained after a course of study extending over not less than three years in a university (or educational institution of university rank); or

3.2.2 a postgraduate taught degree of a UK university or an overseas qualification judged to be of an equivalent standard by the Institute in an area of specialism appropriate to the research to be undertaken.

3.3 A candidate not satisfying these requirements may be considered for admission if UCL is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such cases, UCL will prescribe qualifying work that must be completed to the satisfaction of the Programme Leader before registration.

3.4 Candidates for admission may in addition be required to pass an approved English language test. Details can be found on the UCL website at <http://www.ucl.ac.uk/prospective-students/graduate/life/international>.

3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission.

3.6 At the discretion of the Programme Leader, a candidate who fails to pass a qualifying examination prescribed for him/her may be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by IOE is required.

3.8 Every candidate must make an application to IOE in accordance with the *IOE General Academic Regulations 2014-15* and any other procedures prescribed by UCL.

3.9. Satisfaction of the criteria referred to at Regulations 3.1 to 3.7 does not guarantee admission.

4. Registration

4.1 A candidate for a research degree will be registered initially for the MPhil degree except where the Programme Leader has given permission for initial registration for the PhD degree or where a member of staff is permitted to register for a PhD by publication under 4.2 below.

4.2 A member of IOE staff permitted to register for a PhD by publication shall be expected to meet the conditions laid down in Annex A to these regulations.

4.3 Students registered for the MPhil or PhD degree may be exempted from part of the course of study if they have commenced a course of study for the MPhil or PhD degree (or equivalent degree) of another university, provided there is no change in their topic of research and provided they meet the conditions (*See also regulations 5.4 and 6.4, as well as B8 for students registered for the Integrated MPhil/PhD*).

4.4 IOE may permit a student to transfer registration from the MPhil degree to PhD and from the PhD degree to MPhil in accordance with the procedures determined by IOE from time to time, and published in the relevant student handbooks issued by IOE, provided that no transfer of registration is permitted after entry to the examination for the degree from which the student is transferring. Registration for the degree to which transfer has been made may date from initial registration for the degree from which transfer has been made.

4.5 On transfer of registration, the registration for the original degree will be terminated.

4.6 Students registered for the MPhil or PhD degree at UCL shall not be permitted to register concurrently for another course at UCL or at any other higher education institution, except for those courses specified from time to time by the Programme Leader.

4.7 A student who withdraws before completing the programme of study may be required to re-start the whole programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 In keeping with the *IOE Code of Practice for Research Degrees*, IOE shall appoint a supervisor and an advisory panel for each student registered for the MPhil or PhD degree.

5.2 Every student shall be required to pursue a course of study under the direction of their supervisor and in so doing to undertake their studies at such time(s) as IOE and their supervisor may require, and to complete an agreed research training programme and any coursework as prescribed by IOE.

5.3 For a full-time student, the minimum period of registration for an MPhil or PhD degree shall be two calendar years, save as prescribed in 5.4 below. For part-time students the minimum period of study shall be three years for an MPhil or PhD, save as prescribed in 5.4 below. Where a student

follows periods of both full- and part-time study the total length will be adjusted according to the length of registration spent in each mode. For staff registered for a PhD by publication the minimum period is as specified in Annexe A, regulation A6. For students registered for the Integrated MPhil/PhD, the minimum period is as specified in Annexe B, regulation B6.

5.4 A student accepted under regulation 4.3 may be exempted by IOE from part of a course of study for the MPhil or PhD degree provided that the course of study followed at IOE is not less than one calendar year of full-time registration or two calendar years of part-time registration.

5.5 A course must be pursued continuously except by special permission of the Faculty Tutor.

5.6 The progress of each student shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.7 Full time MPhil or PhD students are expected to submit their thesis for examination within four calendar years of the date of the initial registration for the degree and part-time MPhil or PhD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration. Students who have not completed within this period can transfer to UCL's regulations if they wish to continue studying beyond this period. For a student accepted under regulation 4.3, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student. For students registered for the PhD by Publication or the Integrated MPhil/PhD the period of registration shall be as prescribed in Annexe A and B respectively.

5.8 The Faculty Tutor may approve an application from a person proposing to work away from IOE for a proportion of the prescribed period of registration, provided that:

5.8.1 the student agrees a pattern of study with his/her supervisor that enables him/her to meet the requirements of the MPhil/PhD programme (any departure from this pattern of study after acceptance of a place must be approved by the Faculty Tutor); **and**

5.8.2 the student is able to provide satisfactory evidence as to the availability of appropriate facilities for the research at the student's location; **and**

5.8.3 the arrangements proposed for supervision enable frequent and substantial contact between the student and the supervisor(s) in accordance with the *IOE Code of Practice for Research Degrees*.

5.9 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.10 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.11 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part A, Section 5.6*) will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 10.2 below.

5.12 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *IOE General Academic Regulations 2014-15*.

6. Requirements applicable to the MPhil or PhD

6.1 Candidates registered under regulation 4.2 shall be required to satisfy the requirements for entry to the examination of the PhD by Publication specified in the Annexe and shall not be subject to regulations 6.3, 6.4, 6.7, 6.10 and 7.1.

6.2 Candidates for entry to the examination of the MPhil or PhD must satisfy the requirements applicable to theses for such degrees as laid down in the programme handbook.

6.3 The thesis must:

6.3.1 consist of the candidate's own account of his/her investigations.

6.3.2 be an integrated whole and present a coherent argument;

6.3.3 include a full bibliography and references;

6.3.4 be written in English and of a satisfactory standard of literary presentation

6.4 The greater proportion of the work submitted in a thesis must have been done after the initial registration for a research degree at UCL, except that in the case of a student accepted under regulation 4.3 there shall be allowance for the fact that the student commenced his/her registration at another institution.

6.5 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis wider field work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that the candidate indicates on his/her entry form and in his/her thesis any work which has been so incorporated.

6.6 Except insofar as regulation 6.8 applies, the work in the thesis submitted by the candidate must be his/her own and submission of a thesis for examination for the MPhil or PhD degree will be regarded as a declaration of this fact.

6.7 Research work already published, or submitted for publication, at the time of submission of the thesis, either by the candidate alone or jointly with others, may be included in the thesis only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of the thesis. The published papers themselves may not be included in the body of the thesis, but may be adapted to form an integral part of the thesis. Publications derived from the work in the thesis may be bound as supplementary material at the back. A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own (*see also regulation 6.8*) and that the thesis presented is the one upon which the candidate expects to be examined. The word count (*see regulation 7.1.5 and 8.1.3*) for the thesis must also be included in the thesis.

6.8 A candidate may submit the results of work done in conjunction with his/her supervisor and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researcher(s) (*see also regulation 6.6*).

6.9 The title of the candidate's thesis must be approved by the candidate's supervisor.

6.10 If appropriate to the field of study, and subject to approval by the Faculty Tutor a candidate may undertake research leading to the submission of a portfolio of original artistic or technological work undertaken during his/her period of registration. The work may take the form of, for example, objects, images, films, performances, musical compositions, webpages or software, but must be documented or recorded in the portfolio by means appropriate for the purposes of examination and eventual deposit in the Institute library. The portfolio must include written commentary on each item of artistic or technological work and either an extended analysis of one item or a dissertation on a related theme. The written commentaries and extended analysis or dissertation must together be no more than 40,000 words.

6.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the programme handbook.

6.12 After the examination has been completed and before the degree is awarded, successful candidates are required to submit the required number of copies of the thesis in the format as specified in the instructions issued in the programme handbook if the copies of the thesis submitted for examination did not conform to this specification.

7. Specific Requirements for PhD Thesis

7.1 The scope of the thesis shall be what might reasonably be expected after three years of full-time study (or four years full-time study in the case of the Integrated PhD thesis) or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, the thesis shall:

7.1.1 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

7.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

7.1.3 demonstrate relevant research skills;

7.1.4 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals); and

7.1.5 not normally exceed 100,000 words, excluding the bibliography and appendices but including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

8. Specific Requirements for MPhil Thesis

8.1 The scope of the thesis shall be what might reasonably be expected after two years of full-time study (or three years full-time study in the case of the Integrated PhD thesis) or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, shall:

8.1.1 be either a record of original work or of an ordered and critical exposition of existing knowledge and shall provide evidence that the field has been surveyed thoroughly;

8.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and

8.1.3 not exceed 60,000 words, excluding the bibliography and appendices and including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

9. Entry to examination and submission of thesis for MPhil or PhD

9.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

9.2 The decision to submit a thesis rests with the candidate alone.

9.3 A student may submit a thesis for examination only after the minimum registration period has passed.

9.4 The student's supervisor shall report that he/she has completed the programme of study in accordance with the regulations before a candidate is admitted to the examination for the degree.

9.5 The student must submit the entry form at least **four months** before the submission of the thesis, and this will initiate the procedure for the appointment of examiners.

9.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis, in about 300 words.

9.7 If the candidate has not submitted his/her thesis for examination within 18 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

9.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound, in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

9.9 In addition, a candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to UCL.

9.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study at UCL. In the case of a student registered for the PhD by Publication, submission must normally be within one calendar year of initial registration for the award. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Tutor.

10. Declaration

10.1. It is a requirement for the award of the MPhil or PhD degree that one hard bound copy of a successful thesis is placed in IOE's library and one electronic copy to be made available for public reference.

10.2. At the time of entry to the examination candidates for the MPhil or PhD degrees will be required to sign a declaration confirming that the work presented is their own as specified in regulation 6.6 and 6.7, is fit for examination and that a copy may be made available for public reference.

10.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

11. Appointment of Examiners and Conduct of Examination

11.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, are removed.

11.2 The outcome of the examination is determined by two or more examiners acting jointly.

11.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

11.4 If the candidate is a member of staff at IOE, both examiners shall be external to IOE.

11.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

11.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

11.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

11.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

11.9 Candidates must attend for examination at a place and time determined by IOE (*see also regulation 9.9*).

11.10 The oral examination will be held in London. The Faculty Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

11.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.

11.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

11.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

11.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to the IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

11.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

11.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

11.17 The examiners may, at their discretion, consult the independent chair before completing their report.

11.18 Copies of the reports shall be sent to the Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 12.4 and 13.4).

12. Outcome of PhD Examination

12.1. Candidates for the PhD degree must submit a thesis and be examined orally, save as prescribed otherwise in 12.2 below. For candidates submitting a PhD by Publication, regulations 12.2 to 12.5 do not apply; instead such candidates should refer to regulations A16 and A17 in the Annex.

12.2 The options open to examiners in determining the result of the examination are as set out below.

Pass

12.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the PhD degree.

Pass subject to corrections within one month

12.2.2 If the thesis otherwise fulfils the criteria but requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required

amendments. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

12.2.3 If the thesis otherwise fulfils the criteria but requires amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the amendments in the specified time- frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 12.2.4 should be followed.

Referral – re-present within 18 months

12.2.4 If the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re- present his/her thesis in a revised form within 18 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

12.2.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 18 months.

Not awarded PhD but considered for award of MPhil

12.2.6 If, after completion of the oral examination or re-examination for the PhD, the examiners decide that a candidate has not reached the standard required for the award of the degree nor for the re- presentation of the thesis in a revised form for that degree, they will consider whether the thesis does, or might be able to, satisfy the criteria for the award of the MPhil degree. If they so decide, they will submit a report that demonstrates either how the criteria for the MPhil degree are satisfied, or what action would need to be taken in order for these criteria to be satisfied. They will have regard to the different normal maximum lengths of the thesis for the PhD and MPhil degrees but will have discretion to waive the thesis length for the MPhil degree if appropriate.

Thereafter the following conditions and procedures will apply:

a) The candidate will be informed that he or she has been unsuccessful in the examination for the PhD degree, but has reached the standard required for the award of the MPhil, or with amendment to the thesis may be able to satisfy the criteria for the MPhil.

b) A candidate considered for the award of the MPhil degree under this regulation will not be required to submit the thesis, as required under the regulations for the MPhil degree, or to undergo a further oral examination, but will be required to fulfil the requirements for the MPhil in all other respects.

c) A candidate offered an MPhil degree under these regulations must make any minor amendments required by the examiners within a period they specify, but not exceeding twelve months. The candidate must submit the amended thesis to the examiners who will decide whether the amendments have been completed to their satisfaction

Fail – may not re-present

12.3 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 an oral examination.

12.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the actions to be taken.

12.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

13. Outcome of MPhil Examination

13.1 Candidates for the MPhil degree must submit a thesis and be examined orally, save as prescribed otherwise in section 12.2.6.

13.2. The options open to examiners in determining the result of the examination are as set out below.

Pass

13.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the degree of MPhil.

Pass subject to corrections within one month

13.2.2 If the thesis otherwise fulfils the criteria but requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

13.2.3 If the thesis otherwise fulfils the criteria but requires minor amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by the examiners, normally within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.

Referral – represent within 12 months

13.2.4 If the thesis fulfils the criteria but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re- presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

Fail – may not re-present

13.3 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 an oral examination.

13.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board, which shall determine the action to be taken.

13.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

14. Notification of Results of MPhil and PhD Examinations

14.1 After the report of the examiners has been considered by the Research Degrees Examination Board, the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 9.8.

14.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a degree.

14.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

14.4 No person will be awarded any qualification who has not settled any tuition account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

14.5 The Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

14.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

Annexe A: PhD by Publication

These regulations for the PhD by publication should be read together with the *IOE Regulations for the degrees of MPhil and PhD* to which they are appended.

Admission and Registration

A1. A candidate for the degree of PhD by submission of a thesis based on published work must be a member of staff at IOE.

A2. A candidate shall apply in writing to the Head of IOE Centre for Doctoral Education for admission to the degree of PhD by Publication under these regulations.

A3. The request for admission shall be considered by the Head of IOE Centre for Doctoral Education in consultation with the Head of Academic Department where the member of staff is employed.

A4. The Head of IOE Centre for Doctoral Education shall consider the application on the basis of:

A4.1 the ability of the candidate to satisfy the normal requirements of admission to the PhD programme (as indicated in regulation 3 above);

A4.2 the submission of satisfactory evidence of published work of a type and nature which is consistent with the award of a degree at this level;

A4.3 a nomination and statement of support for the candidate from a member of the IOE's academic staff confirming the existence of a common research interest with the nominee; and

A4.4 the availability of suitable expertise in IOE to advise the candidate.

A5. Where admission to the degree is approved, an academic supervisor shall be appointed to provide guidance to the candidate on the presentation of the thesis based on published work.

Registration and Course of Study

A6. The minimum period of study shall normally be six months and the maximum period shall be twelve months. If a candidate does not submit for examination within the maximum period, unless an extension is approved by the Head of IOE Centre for Doctoral Education, his or her registration for the PhD by Publication shall be terminated.

A7. During the period of study the candidate shall prepare, with the guidance of the academic supervisor, the following material:

A7.1 a list of the publications on which the assessment for the degree is to be based;

A7.2 a full bibliography of all relevant work published by the candidate

A7.3 in cases where multi-authored works are included in the submission, evidence (preferably in the form of written confirmation by at least one co-author per published work) of the candidate's own original contribution to the work must be given

A7.4 a thesis, consisting of an integrative summary of between 10,000 and 20,000 words in length, explaining the significance of the published works and the inter-relationship between the materials presented.

A8. The material listed in A7 above must be submitted, together with the published work to be assessed, by the end of the period of study.

A9. Except for the integrative summary, a candidate may not include with his or her submitted thesis work that has not been published.

Declaration

A10. The candidate shall be required:

A10.1 to declare that the thesis is not substantially the same as any previously submitted or currently being submitted by the candidate whether published or in unpublished form, for a degree, diploma, or similar qualification at any university or similar institution; and

A10.2 where the thesis submitted includes work conducted in collaboration with others, to provide a written statement normally signed by at least one of the co-researchers on the extent of the candidate's individual contribution to the material and the conditions and circumstances under which the work was carried out – see A7.2 above.

Specific Requirements for PhD by Publication

A11 The thesis submitted for the award of the degree of PhD by Publication shall be of sufficient scope to provide evidence of adequate industry and application of an extent characteristic of at least four years' active research effort in the candidate's field and:

A11.1 present a coherent programme of research undertaken by the candidate;

A11.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

A11.3 through the publications and integrative summary provide evidence of a critical assessment of the relevant literature; where relevant, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

A11.4 demonstrate relevant research skills;

A11.5 include a full bibliography and references;

A11.6 be written in English and of a satisfactory standard of literary presentation.

A12 Additionally, in the case of collaborative work, the examiners must satisfy themselves that the part of the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.

Entry to examination and submission of work

A13 The candidate shall be subject to the regulations set out in Section 9 of the PhD regulations except that he or she shall be expected to submit two copies of the publications and the integrative summary bound in accordance with instructions obtainable from the Head of IOE Centre for Doctoral Education and in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

Appointment of Examiners and Conduct of Examination

A15 The examiners for the PhD by Publication shall be appointed in accordance with procedures set out in section 11 of the PhD regulations.

Outcome of examination of PhD by publication

A16 Candidates for the PhD by Publication must submit the thesis comprising the publications and integrating paper and be examined orally save as prescribed otherwise in paragraph A17 below.

A17 The options open to the examiners in determining the result of the examination are as set out below:

A17.1 if the thesis comprising publications and integrating paper submitted fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report that the candidate has satisfied them in the examination for the PhD degree; or

A17.2 if the thesis otherwise fulfils the criteria but requires minor amendments to the integrative summary and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such minor amendments within three months of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them for confirmation that the corrections are satisfactory; or

A17.3 if the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may require the candidate to submit a revised integrative summary, and/or a different selection of published material, for a PhD within a prescribed period not exceeding 12 months from the date the candidate is notified by UCL of the decision of the examiners. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form; or

A17.4 if the work satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months; or

A17.5 that the work be not approved for the award of the degree of PhD because the criteria for the award are not met and that there is no reasonable expectation of their fulfilment within 12 months from the date of assessment. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

A18 Where the examiners are unable to agree on the recommendation to be made or if, for any reason, a further opinion is required on the work submitted, a third external examiner shall be appointed by the Research Degrees Examination Board.

A19 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination using the same material or any part of the material for the degree of PhD. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

Notification of Results

A20 The regulations for the PhD shall be followed in respect of the notification of the result to the candidate.

A21 If the candidate is approved for the award of the degree, one copy of the thesis will be deposited in the Newsam library where it can be available for consultation.

