



# Academic Regulations for Students

## Professional Doctorates

### 2013-2014 Academic Session

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## **Introduction to regulations on professional doctorates**

Each UCL student registered for a Professional Doctorate degree shall have appointed one Principal and one Subsidiary Supervisor, who shall be members of staff of UCL or members of staff of an institution with an approved agreement with UCL. All supervisors must be approved by their Faculty Graduate Tutor before they undertake supervision of research students.

- i) Principal and Subsidiary Supervisors shall be appointed by the appropriate Departmental/Divisional Postgraduate Committee, or its equivalent body.
- ii) Honorary members of staff may be appointed as either Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Faculty Graduate Tutor on behalf of the Research Degrees Committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research activity, including publications and grant income. Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in 4.2.
- iii) Retired members of staff shall not normally be appointed as Supervisors except by the specific agreement of the Research Degrees Committee. Supervisors who retire from UCL after appointment shall be permitted to act as Supervisors to their current research students until such students submit their theses for examination.
- iv) Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Such supervisors must have the status of honorary members of UCL Staff. In all circumstances UCL has an expectation that these Supervisors will undertake their role in accordance with the Graduate School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees (this document). (See link at the end of this section.)
- v) For more information on the role of the Supervisor see the Code of Practice for Graduate Research Degrees. (See link at the end of this section.)

### **Supervisors: Eligibility**

The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found on the Human Resources website. (See link at the end of this section.)

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**UCL Student and Registry Services Division**  
Academic Services Department

UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:

A Principal Supervisor should normally:

- i) have satisfactorily completed any probationary period attached to his/her appointment;
- ii) have expertise in the area of the proposed research;
- ii) have had previous experience of at least one successful PhD, EngD, MD(Res) or MRes supervision, as appropriate, within a supervisory team (defined as having taken a student all the way through to a research degree award)

Subsidiary Supervisor should normally:

- i) have expertise relevant to the area of proposed research;
- ii) be familiar with the standards required for MPhil/PhD/EngD/MD(Res)/MRes research.

In the case of EngD programmes, the Industrial Supervisor must also satisfy the requirements laid down above for the Subsidiary Supervisor.

A probationary member of academic staff may be appointed as Principal Supervisor, if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.

A Research Associate may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:

- i) have a research contract lasting at least 3 years from the time the supervised student commences his/her programme of study;
- ii) be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.

**Further guidance on the eligibility of supervisors**

- i) Principal supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.
- ii) Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of MPhil/PhD/EngD/MD(Res)/MRes supervision at other

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institutions are expected to attend an appropriate UCL supervisor's workshop.

## **Links for Introduction**

All links go to the UCL website, unless stated otherwise:

[UCL Human Resources, PhD Student Supervision Eligibility](#)

[UCL Code of Practice for Graduate Research Degrees \(PDF\)](#)

# **1. Admission to professional doctorate programmes**

## **1.1 Standard Qualifications for Admission**

The normal minimum entrance qualification for registration for professional doctorate programmes is:

- i) An upper second class honours degree of a UK university or an overseas qualification of an equivalent standard obtained after a programme of study extending over not less than three years in a university (or educational institution of university rank), in a subject appropriate to that of the programme to be followed; or:
- ii) A registrable qualification appropriate to the programme to be followed awarded by a UK university or a qualification of an equivalent standard appropriate to the programme to be followed awarded by a university (or educational institution of university rank) outside the UK; or:
- iii) A Master's degree from a UK university in a subject appropriate to the programme to be followed; or
- iv) A professional or other qualification obtained by written examinations and approved by UCL as an appropriate entrance qualification for the degree in question.

### **Further guidance on standard qualifications for admission**

- i) Specific qualifying criteria and additional requirements (such as relevant work experience) may also be required for applicants to individual programmes.

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- ii) Students applying for entry to professional doctorate programmes should refer to relevant literature provided by individual programmes.
- iii) For programmes where students may potentially come into unsupervised contact with children and/or vulnerable adults, the programme will seek an enhanced disclosure certificate from the Disclosure and Barring Service.
- iv) In addition to an enhanced criminal records review, some programmes require further checks under the provisions of relevant legislation covering individuals who work with vulnerable individuals (e.g. the Protection of Children Act and Protection of Vulnerable Adults Act). UCL reserves the right to bar applicants or de-register students who are given an unsatisfactory review by the Disclosure and Barring Service.
- v) Applicants who have a disability should inform the programme of this on their application. This will ensure that any special requirements can be put in place.
- vi) Applicants with disabilities should contact UCL's Disability Coordinator if they have any general queries about facilities at UCL before submitting their application.

## **1.2 Alternative qualifications for Admission to a Professional Doctorate**

- i) Applicants possessing alternative qualifications may also be considered by UCL for registration.
- ii) Applicants who possess a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in 1.1 above, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
- iii) Applicants who possess a qualification obtained by written examination other than those covered above, if UCL is satisfied that the student's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the students who are able to satisfy the entrance requirements in one of the ways prescribed above.

- iv) UCL may prescribe a qualifying examination for such an applicant prior to admission.

### **Further guidance on alternative qualifications**

- i) Departments/Divisions wishing to admit such an applicant, as described above, must obtain written authorisation from the appropriate Faculty Graduate Tutor via the UCL Admissions Office (email [admissions@ucl.ac.uk](mailto:admissions@ucl.ac.uk)). An applicant for registration may also be required to pass a qualifying examination (see 1.2 above).
- ii) Applicants are required to meet UCL's English Language proficiency requirements. Information about English Language proficiency requirements is available from the prospectus. (See link at the end of this section.)
- iii) Where the English Language proficiency requirements of relevant professional or regulatory bodies are more stringent, these will apply. Students should refer to literature provided by individual programmes for further information.

## **1.3 Professional doctorate specific entry criteria**

- i) **DClinPsy Clinical Psychology:** The minimum entrance qualification for registration for the degree of Doctor in Clinical Psychology is an upper second class honours degree with Psychology as the main field of study, or an appropriate Master's Degree or Diploma, qualifying the applicant for Graduate Basis for Chartered Membership (GBC) registration with the British Psychological Society (or an equivalent overseas qualification). Applicants should also have at least one year's relevant clinical experience. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such clinical experience.
- ii) **DDent Paediatric Dentistry:** The entrance requirements are an approved dental qualification plus a minimum of two years' clinical experience prior to the commencement of studies.
- iii) **DEdPsy Educational and Child Psychology:** The minimum entrance qualification for registration for the degree of DEdPsy is an upper second class honours degree with Psychology as the main field of study, or an appropriate Master's degree or Diploma of a United Kingdom university (or an equivalent overseas qualification), qualifying the applicant for graduate basis for chartered membership (GBC) with the British Psychological Society. Candidates will normally be required to have gained at least one year's experience of working with children within educational, childcare or

community settings. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such relevant work experience.

- iv) **DEdPsy Educational Psychology:** The entrance qualification for registration for the degree of DEdPsy for holders of the MSc Educational Psychology is:
  - a) A Masters (or equivalent level) qualification in Educational Psychology
  - b) An appropriate proposal for training which identifies a topic for the thesis, linked to the candidates current occupational responsibilities as an applied psychologist.
- v) **DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy:** The minimum entrance qualification for registration for the degree is a Masters degree in psychoanalytic developmental psychology or an equivalent postgraduate qualification. Candidates will normally be required to have gained at least one year's experience of working with children within educational, mental health or community settings. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such relevant work experience.
- vi) **Doctorate in Clinical Communication Science:** The normal minimum entrance qualification for registration for the degree of Doctor in Clinical Communication Science is a qualification as a speech and language therapist, usually at Masters level, although in exceptional circumstances applicants with a BSc and evidence of research publications would be considered. In addition candidates should normally have at least 5 years post-qualification practice.
- vii) **Doctorate in Orthopaedics Trauma and Orthopaedics:** The entrance requirements for the Doctorate in Orthopaedics Trauma and Orthopaedics is a medical degree; either MMBS or equivalent with General Medical Council registration, or Membership of the Royal College of Surgeons (MRCS), or Higher Surgical Training number in Trauma and Orthopaedics.
- viii) **Doctor in Speech and Language Therapy:** Normally a minimum of an upper second-class UK Bachelor's degree or a taught Master's degree, or the overseas equivalent, in a relevant subject.

## **Link for Section 1**

[Graduate prospectus](#)

[Disclosure and Barring Service](#)

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## **2. Registration and course of study**

### **2.1 Application and Initial Registration**

An applicant will be registered initially at the level of degree specified by the professional doctorate programme.

- i) Applicants should consult relevant literature provided by individual programmes for information about application procedures.
- ii) An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration, i.e. the original diploma or certificate of the awarding body.

### **2.2 Course of Study – general**

- i) All students undertaking professional doctorates are required to pursue a course of study prescribed by UCL.
- ii) Programmes of study will require the completion of a specified number of taught components and (where applicable) practicum assignments, in addition to a research thesis, and may require attendance at lectures.
- iii) A student's registration on a programme will be dependent upon their continued satisfactory progress as determined by UCL.

#### **Further guidance on general courses of study**

- i) Students should refer to individual programme regulations for details of course of study and the requirements for progression between each year of the programme.
- ii) Where an appropriate Masters level exit award is specified in individual programme regulations, a student who has passed the taught (and where applicable) practicum elements in any academic year, but is deemed unable to progress to the subsequent year, may be eligible for award of the Masters qualification. This could apply both to students who have not met the criteria for progression, and to those who have met the progression criteria but who are unable to continue for financial or any other reasons.
- iii) It will be the responsibility of the Board of Examiners to decide on eligibility for award of the Masters qualification.

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## **2.3 Attendance requirements**

- i) A programme must be pursued continuously except by special permission of UCL.
- ii) Students must be in a position to meet all the requirements determined for their studies.

### **Further guidance on attendance requirements**

- i) Students, whether full-time or part-time, are expected to centre their academic studies on UCL.
- ii) Students should reside within a distance that enables them to attend personally for studies and meetings as required by their supervisors.
- iii) Students must obtain approval before they leave to collect or study material remote from UCL or work in remote facilities.

## **2.4 Duration of a programme of study**

- i) The length of full-time professional doctorate programmes is normally 3 years full time.
- ii) Students may not interrupt their period of registration without prior permission from UCL.
- iii) Unless prior exemption from a part of the programme has been agreed, students must be registered for the duration of the programme before they will be eligible to adopt Completing Research Status.

### **Further guidance on the duration of a programme of study**

- i) Students should refer to individual programme regulations for details of the duration of study and of any arrangements for part-time study.
- ii) The minimum registration period for Professional Research Doctorates or Continuing Professional Development (CPD) Doctorates for holders of Masters professional qualifications in the same area of professional practice is two years full time or four years part time.
- iii) **Interruption of Study:** Interruption of Study may be granted by the UCL Director of Student Administration, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar year and any further period of interruption of study will be considered one year at a time.

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- iv) UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not be considered grounds for interruption of studies. Students and staff should refer to Information on Interruption of Study for further guidance. (See link at the end of this section.)
- v) Interruption of Study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:
  - a) The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts.
  - b) The date when the submission of the thesis is due following resumption of study falls within ten years of the date of original registration.
  - c) Written assurances, with supporting documentation, from the Supervisor and/or the Head of Department/Division that the research will still be valid are provided.

## **2.5 Change of Degree Programme within or between departments, divisions or faculties**

For professional doctorate students, transfers between degree programmes are not normally permitted, except where procedures for transfer are explicitly described in individual programme regulations.

## **2.6 Proof of Identity**

All students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment cannot occur.

## **2.7 UK/EU/EEA-Based Students**

UK/EU/EEA Based Students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

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### **Further guidance on UK/EU/EEA-based students**

- i) UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK.
- ii) A UK photo driving licence, a European National Identity Card or Armed Forces Identity Card; or
- iii) An original birth certificate, adoption certificate or certificate of naturalisation.
- iv) No other forms of identification are acceptable.
- v) If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.

## **2.8 Students Who Require a Visa to Study in the UK**

Under the Points-Based Immigration System, presentation of a valid passport is a mandatory requirement for students who require a visa to study in the UK, and no other forms of identification will suffice. Enrolment will not take place without presentation of a valid passport and visa.

Further details about the Points-Based immigration System are available from UCL's Website. (See link at the end of this section.)

## **2.9 Dual Registration**

Students are not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

### **Links for Section 2**

All links go to the UCL website, unless stated otherwise:

[Changes to your registration status at UCL: study leave](#)

[UCL Immigration and visa information](#)

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## **3. Structure of a professional doctorate**

### **3.1 Programme structure**

- i) The structure of a professional doctorate will normally contain the following programme components:
  - a) A taught component
  - b) A research component
  - c) Practicum assignments and assessments
- ii) Each element of the programme will be assessed separately and the student will be expected to build a satisfactory portfolio of passed assessments which will be examined both during the programme and at its conclusion.
- iii) In order to be awarded a professional doctorate, students must demonstrate satisfactory attendance and performance in each component.

#### **Further guidance on programme structure**

- i) Satisfactory performance in each component of the professional doctorate is described in the regulations provided by their Department/Division which specifies the minimum requirements to qualify for the award associated with their programme of study.
- ii) In all cases assessment will include a thesis describing an original piece of research completed to doctoral standards.
- iii) Individual programmes will specify the range of further assessments, which may include unseen examinations, observed performance in practicum assignments and coursework related to the assessment of the practicum.
- iv) Oral examinations will consider the student portfolio, including the outcomes of practicum assignments and assessments and related coursework, and the research dissertation.

## **4. Taught element**

### **4.1 Successful Completion of a Professional Doctorate Programme**

In order to complete successfully a professional doctorate programme at UCL, students must complete all specified taught components of their degree programme, as follows:

- i) For the coursework and/or practicum components, a threshold for completion will be set by the programme and be clearly publicised to students.
- ii) In the event that any threshold set is not reached, the result for the component will be “incomplete” regardless of the mark obtained.

### **4.2 Unseen Examinations**

An unseen examination component is deemed complete if a student has submitted an answer that can be academically assessed. The mark awarded, however, might be zero. If a student makes little or no attempt at the examination, this will be deemed “incomplete”.

A taught component is complete when a student has been declared complete on all relevant assessments for that component using the criteria specified in the relevant programme regulations.

## **5. Academic Assessment**

- i) For the purposes of these regulations, ‘Examination’ refers to the assessment of taught and practicum assignments other than research, whether by written examination and/or by coursework, or other means of academic assessment.
- ii) The assessment of the research thesis is discussed under section 10 below.
- iii) These regulations should be read together with UCL’s Assessment Strategy and the Examination Guide for Candidates. (See links at the end of this section.)

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## **5.1 Submission of Student Summative Assessed Academic Work and Anonymity**

- i) With the exception of the circumstances set out in item iv) below, unseen summative written examinations must be assessed anonymously against an anonymous identifier such as candidate numbers or SRN.
- ii) A summative coursework element that constitutes more than 40% of a module must be submitted and assessed on an anonymous basis where possible.
- iii) Once marks have been finalized for an element of summative coursework, for example by agreement between first and second markers, anonymity may be lifted to facilitate feedback to students.
- iv) Anonymity may not be practical when assessing laboratory work, oral examinations, exhibitions, marking clinical work with patients, portfolios of work, dissertations / research theses and group work etc.
- v) Anonymity is not required for an element of summative assessment that constitutes 40% or less of a module.
- vi) Consideration by Boards of Examiners of all summative assessed marks, progression decisions and awards must be conducted anonymously.

### **Further guidance on Submission of Student Summative Assessed Academic Work and Anonymity**

- i) In this context a coursework element is either part of or the entire coursework component for a taught module. For example, one essay weighed at 40% of a taught module is one element and therefore makes up the entire 40% coursework component for that module, the remainder being other component(s) weighted at 60%. However, as another example, 10 individual weekly problem sheets weighted at 40% of a taught module are 10 elements of the 40% coursework component of that module the remainder being other component(s) weighted at 60%.
- ii) Reports listing names and candidate numbers will be available via Portico to designated departmental/divisional staff in the first term.
- iii) The student SRN may be used as an anonymous identifier when departments/divisions wish to reserve use of candidate numbers for unseen written examinations.
- iv) Since students benefit from feedback on their coursework, anonymity is not required when the coursework element constitutes 40% or less of the assessment for a taught module.

- v) Anonymity is required when a coursework element constitutes 40% or more of a taught module and SRN or candidate numbers may be used as appropriate. However, anonymity may be relaxed once marks have been agreed to facilitate feedback to students.
- vi) Candidate numbers should be used for all unseen written examinations and at meets of Boards of Examiners.

## **5.2 Examination Entry Criteria**

- i) Students will be eligible for summative assessment if they have attended and pursued the taught module(s) to the satisfaction of the teaching department/division. The minimum requirement for 'satisfactory performance' is attendance of 70% of the taught module(s) in terms of lectures, seminars, laboratory session and other forms of teaching and learning as specified by the department/division or faculty.
- ii) Students who are clearly falling short of any departmental/divisional requirements in any particular taught module will be informed in writing that their performance is currently less than satisfactory, and that if the situation continues, they may be barred from the assessment of the taught module(s) in question together with the consequences that this may bring.
- iii) Students have the right to appeal against the decision to bar them from being assessed.

### **Further guidance on examination entry criteria**

- i) Departmental/divisional, programme and taught module literature given to students at the start of the session must set out the policy on satisfactory performance, together with clear definitions of what will constitute 'unsatisfactory performance'. If particular importance is attached to the attendance for certain elements, such as seminars for laboratory work, of a taught module, then the requirements must be set out clearly in the literature given to students.
- ii) Departments/divisions may stipulate a higher minimum requirement than attendance of 70% of the taught if they wish to do so as long as this is communicated to the students.
- iii) Wherever it is practicable for them to do so, departments/divisions must have adequate mechanisms in place for regularly recording attendance at seminars, classes and tutorials, and the submission of required coursework and any other work and for the reporting by individual teachers of any serious deficiencies to the departmental/divisional degree programme tutor

(as appropriate), who are the designated departmental/divisional officers with overall responsibility for instigating the barring process.

- iv) Any communications informing students that their performance is currently less than satisfactory, should be sent to the relevant Faculty Tutor / Faculty Graduate Tutor for information (and to the student's home department/division if it is not the department/division responsible for teaching the taught module(s) in question).
- v) Such warning must be given to students in sufficient time for them to be able to rectify the situation during the remainder of the session and certainly no later than half-way through the module(s) in question.
- vi) The Faculty Tutor / Graduate Faculty Tutor (and, where relevant, the student's home department/division) may also decide at this point to interview the student concerned. Details of the procedures departments/divisions need to follow are available. (See link at the end of this section.)

### **5.3 Right of Appeal Against a Decision to Bar a Student from Examinations**

- i) Students have the right to appeal against the decision to bar. Such appeals must be made by the student in writing, either to the home Faculty Graduate Tutor or the Dean of Students (Academic), as appropriate (see below), within seven days of the date of notification of the Department/Division's or Faculty's decision.
- ii) The home Faculty Graduate Tutor will deal with any appeal there may be against a Departmental/Divisional decision where progression is not at stake within five working days of receipt of the written appeal.
- iii) Appeals against a decision by the Faculty Graduate Tutor which results in non-progression or classification difficulties for the student will be dealt with by the Dean of Students (Academic) (or a Deputy Dean of Students (Academic) for students from the Dean of Students (Academic)'s own Faculty) within 5 working days of receipt of the written appeal.

#### **Further guidance on the right appeal against decisions to bar students from examinations**

- i) Students who are not satisfied with the outcome of their appeal may go through UCL's Student Grievance Procedure, but they must accept that a final outcome is unlikely to be reached before they are due to take the examination(s) in question.

- ii) Further information about UCL's Student Grievance Procedure is available. (See link at the end of this section.)

## **5.4 Authorised Absence from Examination**

A student who is prevented owing to illness or the death of a near relative or other cause judged sufficient by UCL from completing an examination at the normal time, may at the discretion of the examiners either:

- i) Enter the examination in those elements in which they were not examined on the next occasion when the examination is held in order to complete the examination; or:
- ii) Be set a special examination in those elements of the examinations missed as soon as possible and/or be permitted to submit any work prescribed (e.g. report) at a date specified by the Board of Examiners concerned.

### **Further guidance on authorised absence from examination**

The special examination shall be in the same format as specified in the programme Regulation(s) for the elements missed.

## **5.5 Unauthorised Absence from Other Forms of Assessment and Non-Submission of Assessed Work**

Students who are absent without permission from other forms of assessment or who do not submit work for assessment will be awarded a mark of zero.

If a student is absent from an examination without permission or, although present at an examination, either does not attempt the paper or attempts so little that it cannot be assessed and provides no evidence of extenuating circumstances, the normal procedure should be that the student is awarded a mark of zero for the missed/non-attempted examination (i.e. a mark of zero would be counted in any average and it would be treated as an attempt: the overall result for the module would be recorded by the Examinations Section, UCL Student and Registry Services, as absent or incomplete, as appropriate).

## **5.6 No Attempt or Minimal Attempt of a Paper or Other Form of Assessment**

Students who do not attempt a paper or other form of assessment, or who make an attempt that is academically un-assessable, will be awarded a mark of zero.

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## **5.7 Re-Entry to Examinations or Other Form of Assessment**

- i) Students who obtain a mark below the condoned mark range will be required to re-enter that examination at the next normal occasion.
- ii) The mark achieved will apply even if this is lower than the original mark.

## **5.8 Number of permitted attempts**

- i) Students who, at their first entry, do not successfully complete an examination may re-enter for the examination or other forms of assessment on one more occasion.
- ii) This does not apply if a student has been awarded a degree, or been excluded from UCL on the grounds of academic insufficiency or as a result of examination misconduct or professional misconduct.

## **5.9 Programme Regulations and Syllabus for Re-entered Examinations**

Students who re-enter for any part of an examination shall be subject to the programme regulations and syllabus current at their first attempt.

This is providing that:

- i) Appropriate examiners for the course are available.
- ii) For students wishing to enter or re-enter examinations after satisfactory completion of the programme of study, such entry or re-entry is made within two calendar years of the completion of the programme of study.
- iii) For students wishing to enter or re-enter examinations following a period of interruption of study, such entry or re-entry is made within two calendar years of the completion of attendance on the course unit.
- iv) Examination according to the method(s) of assessment operating at the time of the original registration for that course does not disadvantage the student.

Where one or more of the conditions set out at (i)-(iv) above cannot be met, the following will apply:

- i) The student will be notified in writing of any changes to the method(s) of assessment since the time of their original registration for the course.

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- ii) The student must signify in writing that they understand that the method(s) of assessment have changed as notified.

## **5.10 Format of the Reassessment**

Students will only re-take failed assessment components unless the regulations for their programme require students to re-take all assessed components of a module.

Students will be automatically re-entered for assessment components that they have failed to pass or complete, unless they have been granted permission not to re-enter by UCL or have been excluded from UCL. If a student passes assessed coursework components but fails an examination, the normal expectation is that the student would only re-sit the examination, unless specific programme regulations require otherwise. However, following academic advice, a recommendation may be made by the departmental/divisional programme tutor that a student can re-sit all assessment components of the module, including those previously passed. Evidence of support by the faculty tutor should be sent to the examinations section.

## **5.11 Late submission of coursework**

Deadlines for submission of coursework will be set by individual programmes, and are absolute.

- i) Coursework submitted after the deadline will be deemed to have failed, and a new piece of work will need to be submitted in place of the original.
- ii) Where there are extenuating circumstances that have been recognised by the Board of Examiners or its representative, these penalties will not apply until the agreed extension period has been exceeded.
- iii) Further information about the extenuating circumstances procedures is available. (See link at the end of this section.)

## **5.12 Over-length Coursework, including Research Projects, Dissertations and Final Reports**

Prescribed word counts for each piece of work will be set by individual programmes, and are absolute.

- i) Coursework with a stated word count above the maximum will not be accepted for submission (i.e. it will not be date-stamped or otherwise recorded as formally submitted), but will be immediately returned to the student with instructions to reduce the word length.

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- ii) If submitted work is subsequently found to have an inaccurately stated word count it will be failed. At the discretion of individual programmes the student may be permitted to re-present the coursework in a revised form that meets the prescribed word count.

## **5.13 Approved Format for Examinations**

### **5.13.1 Assessment – General**

- i) Assessment is a general term used to describe the mechanism to measure student achievement. A variety of assessment methods may be applied to reflect an integrated curriculum design. At UCL there is an expectation that a mixture of formative and summative assessment methodologies will be applied to test different skills and to enable students to achieve the intended learning outcomes. Formative assessment can also provide experience of a programme's summative assessment.
- ii) **Summative assessment** provides a clear statement of achievement or failure that can be made in respect of an individual student's performance. The outcome of summative assessment is used to classify a degree award and is recorded on student transcripts.
- iii) **Formative assessment** provides feedback to individual students about their progress towards achieving the intended learning outcomes for specified course units and modules. In addition, innovative formative assessment methodologies make an important contribution to the overall development of student skills and transferable knowledge.
- iv) Permitted forms of summative academic assessment are set out in UCL's Assessment Strategy. (See link at the end of this section.)
- v) Permitted forms of summative e-assessment are set out in UCL's E-assessment regulations. (See link at the end of this section.)

These regulations should be read together with the following documents and programme specific regulations:

- i) UCL Assessment Strategy (see link at the end of this section)
- ii) UCL Learning and Teaching Strategy
- iii) UK Quality Assurance Agency Benchmark Statements (see link at the end of this section)
- iv) The framework for higher education qualifications in England, Wales and Northern Ireland (see link at the end of this section).

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### **5.13.2 Examination of a Programme**

Students entering an examination must be examined in all parts of the examination prescribed for the programme. Therefore (unless prevented by illness or other adequate cause for which certification must be provided) students must register for each prescribed assessment and submit sufficient work to enable them to be examined. For components examined either in full or in part by coursework, students may be regarded as having been examined in all parts of the examination, that is having completed the assessment of the component, provided that:

- i) All parts of the assessment have been completed at the time that the component is assessed.
- ii) Individual Department/Divisions may prescribe the proportion of unseen written examination and coursework. In every case, the percentage of coursework which must be completed shall be clearly specified in appropriate documentation and clearly indicated to the students concerned.

### **5.13.3 Examination of Coursework**

- i) Criteria for the assessment of coursework will be published by individual programmes.
- ii) The coursework component will examine both the taught and practicum components of the programme.
- iii) Coursework has to be passed independent of the examinations of other course components.
- iv) The examiners may specify changes to a piece of coursework and require these to be carried out before these are accepted as part of the student's portfolio.

#### Further guidance on examination of coursework

- i) The examination of coursework will be conducted in accordance with procedures for examination of coursework as set out in UCL's Assessment Strategy. (See link at the end of this section.)
- ii) Where coursework is required to be resubmitted students should be given clear feedback indicating the revision required.
- iii) Students whose performance falls below the required standard will normally be allowed one resubmission.
- iv) External examiners should be involved in the examination process and where failure is indicated their advice should be sought.

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#### **5.13.4 Examination of Practicum Assignment and Practicum Assessments**

- i) The practicum assignment will be assessed by criteria published by the Department/Division at least once a year, and must be passed according to written criteria published by the programme.
- ii) Attendance requirements for professional doctorate programmes must be met in order to allow entry into the examination.
- iii) The evaluation is based on observation of the performance of the student on the practicum assignment by either a member of the programme staff and/or a member of the profession formally recognized and designated by the programme as possessing the appropriate qualifications for examining the student.
- iv) Failure of the practicum assignment will normally lead to failure of the course, but at its discretion the Board can permit students to re-take the relevant assignment. There will only be one opportunity to retake an assignment.
- v) If students are deemed not to be meeting criteria, they need to be informed that this is the case. If their performance continues to be unsatisfactory they may be required to attend an oral examination.
- vi) Students may appeal against failure of the practicum component.

#### Further guidance on Examination of Practicum Assignment and Practicum Assessments

- i) The frequency of assessment of the practicum assignment will be specified in the regulations of individual programmes.
- ii) The person examining the practicum component will normally be specified before the student is sent on the practicum assignment.
- iii) The criteria for satisfactory performance in a practicum assignment will be specified by the programme and made available both to students and assessors of the practicum.
- iv) Reports of the student's progress and the oral examination (if conducted) will be considered by the Board of Examiners of the programme.

#### **5.14 Student Examination Conduct**

The conduct of examinations will follow UCL norms as set out in Section 3 of Academic Regulations for Students: Taught Postgraduate Programmes. (See link at the end of this section.)

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## **5.15 Special Examination Provision**

Special Examination Provision on the grounds of a specific learning difficulty (such as dyslexia), disability or ill-health will follow UCL norms as set out in Section 3 of Academic Regulations for Students: Postgraduate (Taught Postgraduate Programmes). (See link at the end of this section.)

## **5.16 The Publication of Examination Results**

The Publication of Examination Results will follow UCL norms as set out in Section 3 of Academic Regulations for Students: Postgraduate (Taught Postgraduate Programmes). (See link at the end of this section.)

## **5.17 Prescribed Scheme of Award**

- i) Every professional doctorate will have an associated prescribed Scheme of Award that is a statement of the means by which the degree is awarded. The Scheme of Award will be published in the student information handbook for the programme.
- ii) Students will be considered for an award according to the Scheme for Award in place at the time of their registration on the programme.

The Scheme of Award is the method by which the award of the degree is calculated. Teaching Departments/Divisions are required to publish their local award scheme rules in the Student Handbook for each programme, and students are expected to familiarise themselves with these local rules.

## **5.18 Changes to a Prescribed Scheme of Award**

Students will have signified in writing that they have understood that changes have been made to the Scheme for Award as notified.

## **5.19 Date of a Degree Award**

The date of award for professional doctorates will be no longer than one month after the Board of Examiners has recommended to UCL Examination Section that a student be passed.

## **5.20 Provision of Degree Certificate**

A UCL degree certificate will be sent to each successful student who is awarded a degree.

Students should ensure that their contact address is kept up to date, via Portico, as this address will be used for the despatch of certificates. For students gaining a UCL award, certificates are despatched by the Examinations Section, Student and Registry Services, within approximately three months of the date of award.

## **5.21 Students with an Outstanding Debt to UCL**

All students who will, if successful in their examinations, qualify for the award of a degree, should note that UCL will withhold the award in the case of any student who is in debt to UCL.

- i) Students should note that debt to UCL includes any payment due, including Tuition and Examination Fees, Fees for UCL Residential Accommodation and Fees to the UCL Library. (See links at the end of this section.)
- ii) No report will be made on the student's results' record until the debt has been settled in full and attendance at a Graduation Ceremony will not be permitted unless the whole debt has been cleared by the due date. (See link at the end of this section.)
- iii) All other students who are in debt to UCL will have their official results withheld and/or not be permitted to enrol at any future session until the debt has been settled in full.

## **5.22 Award of degrees**

The Academic Committee of UCL is authorised to award degrees.

## **5.23 Revocation of degrees**

UCL may revoke any degree, diploma or certificate awarded, if discovered at any time and proved to the satisfaction of UCL, that:

- i) There was an administrative error in the award made under the procedures required by UCL, including an error in calculating the results.

- ii) Subsequent to award, a Board of Examiners, having taken into account information that was unavailable at the time its decision was made, determines that a student's or students' classification should be altered.

## **Links for Section 5**

All links go to the UCL website, unless stated otherwise:

[UCL Graduate Admissions Policy](#)

[UCL Examination Guide for Candidates 2012-13 \(PDF\)](#)

[UCL's Student Grievance Procedure](#)

[UCL's Assessment Strategy \(PDF\)](#)

[Regulations and Guidelines for Summative E-assessment \(PDF\)](#)

[Subject benchmark statements – on the Quality Assurance Agency website](#)

[Self-certification of the FHEQ with the framework of the European Higher Education Area – on the Quality Assurance Agency website](#)

[UCL Academic Regulations for Postgraduate Taught Programmes](#)

[UCL Regulations: Appendices](#)

[UCL Residential accommodation](#)

[UCL Library](#)

[UCL Graduation Ceremony](#)

## **6. Supervisory arrangements for the research thesis**

### **6.1 Supervisors: General**

Each UCL student registered for a professional doctorate shall have appointed a Principal Supervisor who shall be a member of the academic staff of UCL or an appropriately qualified member of staff of an institution with an approved agreement with UCL.

- i) Principal Supervisors shall be appointed by the Departmental/Divisional postgraduate committee specific to the doctoral programme, and their

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appointment approved by the Faculty Graduate Tutor on behalf of the Faculty Postgraduate Teaching Committee.

- ii) Individual programmes will appoint a Subsidiary Supervisor to each student whose role will be to keep acquainted with the progress of the student's work, to be present at, at least, annual supervisory meetings, to provide for continuity of supervision in the event of the absence or departure of the Principal Supervisor and (where the Principal Supervisor considers it desirable) to contribute a second opinion or additional areas of expertise. Their appointment will be approved by the Departmental/Divisional Graduate Tutor.
- iii) The oversight associated with the role of Subsidiary Supervisor can be carried out by a named individual acting on behalf of the programme, whose function will be to monitor the quality of supervision and the consistency and continuity of supervision offered by the Principal Supervisor, and to take action to remedy any concerns in these areas. This person should satisfy the eligibility requirements for the Principal Supervisor, but will not be subject to any limits in the number of students to whom they are allocated. This arrangement will be approved by the Departmental/Divisional Graduate Tutor.
- iv) Students should refer to individual programme documentation for details of supervisory arrangements.
- v) Honorary members of academic staff may be appointed as Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Departmental/Divisional postgraduate committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research expertise (e.g. publications, grant income and professional experience). Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in 6.2.
- vi) Retired members of staff shall not be appointed as Supervisors except by the specific agreement of the Faculty Graduate Tutor. Supervisors who retire from UCL after appointment shall be permitted to act as Supervisors to their current research students until such students submit their theses for examination.
- vii) Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Principal and Subsidiary Supervisors must have the status of honorary members of UCL academic staff. In all circumstances UCL has an expectation that these Supervisors will undertake their role in accordance with the Graduate School's Code of Practice for Graduate Research Degrees (see below) and within the framework of UCL's regulations for Research Degrees.

- viii) More information on the role of the Supervisor is available in the Code of Practice for Graduate Research Degrees. (See link at the end of this section.)

## **6.2 Supervisors: Eligibility**

### **Principal Supervisor**

UCL determines the eligibility of academic staff to supervise research degree students using the following criteria:

- i) Have expertise in the area of the proposed research.
- ii) Have had previous experience of at least one successful supervision of the research component of a professional doctorate *or* previous experience of at least one successful supervision at doctoral level (in both cases defined as having taken a student all the way through to the award of a research degree).
- iii) In order for a probationary member of academic staff to be appointed as Principal Supervisor, supervision must be undertaken with support from an experienced supervisory team comprising at least one member with experience of at least two successful supervisions.

A Subsidiary Supervisor should normally:

- i) Have academic or professional expertise relevant to the area of proposed research.
- ii) Be familiar with the standards required for the research component of the professional doctorate.

## **6.3 Number of Students per Supervisor**

A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of 6 full-time doctoral students at any one time.

Calculating the number of full-time supervisees is based on the formula that each professional doctorate student is equivalent to 0.75 of a PhD student.

- i) The maximum number of supervisees, whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be 6, using the following formula. For Principal Supervisors:

- a) 1 full-time professional doctorate student = 0.75
- b) 1 part-time professional doctorate student = 0.4
- c) 1 full-time PhD student = 1.0
- d) 1 part-time PhD student = 0.5

For Subsidiary Supervisors:

- a) 1 full-time professional doctorate student = 0.4
  - b) 1 part-time student = 0.2
  - c) 1 full-time PhD student = 0.5
  - d) 1 part-time PhD student = 0.25
- ii) For example, an individual may act as Principal Supervisor to four full-time professional doctorate students (equivalent to three full-time PhD students) and one full-time PhD student, while also acting as Subsidiary Supervisor for two full-time PhD students (equivalent to 1.0 full-time PhD student). This is the equivalent of supervising 5 full-time PhD students and is within the overall limit of 6 doctoral students at any one time.
- iii) Departments/Divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.

## **6.4 Declaration of Personal Interest**

All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising.

- i) A Supervisor who declares such a personal relationship prior to appointment as Supervisor for the student in question shall not be permitted to undertake supervision of that student, whether as Principal or Subsidiary Supervisor.
- ii) A Supervisor who declares such a relationship after having been appointed as Principal Supervisor for the student in question (unless the declaration is made within six months of appointment, in which case the Supervisor shall not be permitted to continue in any supervisory capacity) shall no longer continue as Principal Supervisor but may continue to advise the student in an informal capacity.

- iii) The role of Principal Supervisor (including responsibility for all decisions affecting the student's progress and assessment) shall in such instances pass to the Subsidiary Supervisor or the other supervisor nominated by the Department/Division.
- iv) A supervisor who declares such a relationship after having been appointed as Subsidiary Supervisor for the student in question, subject to the permission of the Departmental/Divisional Graduate Teaching Committee, may continue as Subsidiary Supervisor, but shall not be responsible for, or be involved in, any decisions affecting the student's progress and/or assessment.

## **6.5 Transfer of Supervisor to Another Institution**

Where a Principal Supervisor transfers to another institution, students assigned to that Supervisor shall be assigned to another Principal Supervisor.

### **Link for Section 6**

[Code of Practice for Graduate Research Degrees](#) (PDF, 17 pages, 149 KB)

## **7. Requirements of the research thesis**

### **7.1 Theses: General**

- i) The greater proportion of the work submitted in a thesis must have been undertaken after the registration of the student for the professional doctorate.
- ii) The work in the thesis submitted by students must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact.
- iii) Students will not be permitted to submit a thesis that has been submitted for examination for a degree, or comparable award, of this or any other university or institution.
- iv) Students may submit the results of work done in conjunction with their Supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated and a statement of confirmation is certified by the Supervisor.

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Students should include in the thesis submission form a signed declaration that the work presented is their own. This may be inserted between the title page and the contents page of the thesis in the following terms:

'I, [student's full name], confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.'

## **7.2 Requirements of the Research Thesis**

A thesis for the award of a professional doctorate shall be examined in accordance with the criteria prescribed by UCL and the thesis shall demonstrate that it:

- i) Is genuinely the work of the student.
- ii) Shows a student's capacity to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline.
- iii) Embodies the results of research which may reasonably be expected of a student after the period under research supervision, formulated and carried out by the student in consultation with the Supervisors.
- iv) Consists of a student's own account of their investigations, the greater proportion of which shall have been undertaken during the period under research supervision for the degree.
- v) Represents a distinct and significant contribution to the subject, whether through the discovery of new knowledge, the connection of previously unrelated facts, the development of new theory, or the revision of older views.
- vi) Shows the exercise of critical judgment with regard to both a student's own work and that of other scholars in the field.
- vii) Includes a critical assessment of relevant literature, including a description of the method of research and its findings, discussion of those findings and indicates in what respects they appear to the student to advance the study of the subject and, in so doing, demonstrates a deep and synoptic understanding of a field of study, objectivity and the capacity for judgment in complex situations and autonomous work in that field.
- viii) Is satisfactory in its literary and/or technical presentation and structure with a full bibliography and references.
- ix) The report of research takes due account of previously published work on the subject.

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- x) Makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original.
- xi) Contains an element which might, after any necessary revision, merit publication in a medium appropriate to the discipline (for example as a monograph or as a number of articles in learned journals).
- xii) Shows a student's ability to design and implement an independent research project.

### **Further guidance on requirements of the research thesis**

Supervision of the research component of a professional doctorate normally starts after students have undertaken other elements of the programme, and hence the period of registration is usually longer than the period during which the student is under research supervision. Students and staff should consult individual programme regulations for details of the period of research supervision.

## **7.3 Language of a thesis**

All theses must be written in English and the oral examination must be conducted in English.

## **7.4 Word length of theses**

The maximum word length of professional doctorate theses is 100,000 words, including all component parts, footnotes, tables and figures but excluding bibliography, appendices and supporting data.

- i) The above prescribes the maximum allowable length for the thesis, not necessarily the preferred length. Individual programmes may recommend a shorter length and give specific advice on partitioning the submitted thesis. Students should refer to the regulations for individual programmes for advice on the usual length and specified components of theses in their subject area.
- ii) The signature of the student on the examination entry form to the examination for the specialist doctorate shall be taken as confirmation that the thesis submitted is within the required word limit.
- iii) "Supporting data" refers largely to raw data which is not essential to the argument of the thesis. Appendices are not in the word count and should only include material which examiners are not required to read in order to

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examine the thesis, but to which they may refer if they wish. Examiners are not required to read beyond the maximum word limit.

- iv) Students should refer to the specific programme regulations for their thesis word lengths and other elements of their programmes that are examined as part of the doctorate.

## **7.5 Format of a thesis**

The thesis should be submitted in the format determined by the home Department/Division of the programme at the time of submission.

- i) Further information and guidance on the format and presentation of theses is available from the individual programme literature.
- ii) Photographic and other illustrations should be permanently mounted on A4 size paper and bound in with the thesis. A4 size paper (210 x 297 mm) should be used. Plain white paper must be used, of good quality and of sufficient opacity for normal reading.

## **7.6 Availability of a thesis**

At the time of entry to the examination, students are required to sign a declaration giving UCL the necessary authority to retain a copy or copies of the thesis.

- i) Further information about the terms of this declaration on retention is available from the individual programme literature.
- ii) Students may apply to UCL, at the time of registration or thereafter, for restriction of access for a period of not more than two calendar years to their thesis and/or the abstract of their thesis on the grounds of commercial exploitation or patenting. If the thesis includes material that is significant for reasons of confidentiality or other reasons, subject to approval of UCL, copies of the thesis placed in the public domain may have certain parts excised from them. Applications to restrict access to a thesis should be made via the Student Centre in the Student and Registry Services.

## **8. Examination Entry**

### **8.1 Thesis submission form**

Prior to the time of submission of a thesis for examination, a thesis submission form must be submitted to the home department.

- i) Information about the submission of the form, and when submission is required, should be available from the home Department/Division.
- ii) The form, which requires a short description of the content of the thesis in about 300 words, must be submitted to the Departmental/Divisional Postgraduate Committee to assist in the nomination of suitable examiners.

### **8.2 Thesis submission**

Students, prior to examination, are required to submit two copies of their theses to UCL using the procedures identified by the programme.

- i) Students may be required to provide a third copy of their thesis if a third examiner is appointed at any stage in the examination process.
- ii) Students are required to bring to the oral examination a copy of their thesis which is identical to the copies submitted to UCL.

### **8.3 Dispatch of theses to examiners**

- i) A thesis will be sent to both examiners at least four weeks in advance of an oral examination.
- ii) Direct submission of theses to examiners by students or Supervisors is not permitted.

#### **Further guidance on the dispatch of theses to examiners**

- i) All theses will be submitted to UCL using the procedures identified by the programme. Supervisors and students should note that theses will only be sent to examiners who have been formally appointed by UCL and only after the thesis submission form has been submitted in accordance with the examination entry guidelines. Further information is available from individual programmes.

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- ii) The Departmental/Divisional Postgraduate Committee and the student should ensure that all examination entry requirements have been met in good time before a planned oral examination takes place.
- iii) Oral examinations cannot proceed if the requirements for the examination entry, including the formal appointment of examiners, have not taken place in accordance with UCL regulations. The outcome of any examination conducted in such an instance would be void.

## **9. Appointment of examiners**

### **9.1 The appointment of examiners for professional doctorates**

- i) The Chair of the Board of Examiners for the professional doctorate will nominate External Examiners for the taught and practicum components of the programme.
- ii) In making a nomination, the Chair will take account of the appointment criteria specified by UCL Board of Examiners including confirmation of approval of the nomination from UCL Research Degrees Committee and the Faculty Graduate Tutor on behalf of the Faculty Postgraduate Teaching committee.

#### **Further guidance on the appointment of examiners**

Upon receipt of the confirmation of appointment of the nominated examiner by UCL, the Chair of the Board of Examiners should ensure that the new appointed examiner receives the following, together with any additional information required:

- i) Name of Departmental/Divisional Board contact (e.g. Examinations Liaison Officer).
- ii) Departmental booklet such as a Student Handbook or syllabus information.
- iii) Composition of the Board of Examiners (e.g. number of Internal Examiners and any interdepartmental involvement).
- iv) Number and subject area of other External Examiners appointed to the Board.
- v) Scheme of award.
- vi) Marking scheme for papers (when known).
- vii) Criteria for practicum requirements (where appropriate).

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- viii) Criteria for the research component.
- ix) Date(s) of meetings of Board of Examiners to which the External Examiner is invited (when known).
- x) Outline of procedures of Board of Examiners (e.g. point of contact for External Examiner, time allowed for marking, procedures for setting and scrutinising papers).

## **9.2 Confirmation of external examiner continuing appointment**

Chairs of Boards of Examiners will confirm that External Examiners are continuing in their role on an annual basis for a total period of four years.

- i) The task of the annual review and confirmation of External Examiners continuing appointment is conducted via Portico (the Student Record Management Database).
- ii) Chairs or their nominees should use the functionality found in the “Examiners” header of their staff home page.

## **9.3 The Appointment of External Examiners**

- i) An External Examiner must be from outside UCL and must not be involved in regular teaching on the programme they examine.
- ii) A member of the academic staff of a college of the University of London other than UCL, or any other external institution with which UCL has service teaching arrangements, may be appointed as an External Examiner, providing that no students from the appointee’s college, so far as can be anticipated, are being examined by the Board of Examiners at UCL on which the appointee will serve and the appointee is not involved in teaching on the programme examined by the Board to which they will be appointed.

### **Further guidance on the appointment of external examiners**

- i) Departments/Divisions should avoid, where possible, appointing an External Examiner where there is a risk that students from their home institution will register on modules examined by the Board of Examiners at UCL on which they will serve.
- ii) This risk is high in the case of External Examiners from other colleges of the University of London. If such a situation occurs, however, and is known only after the External Examiner is appointed, any assessed work by these

external students cannot be referred to an External Examiner from the same institution.

## **9.4 The Criteria for the appointment of External Examiners**

- i) An External Examiner is normally expected to be a member of staff in the same discipline as the professional doctorate in another UK university. Where they are not current members of the academic staff they should have experience of professional training and be senior members of the profession. They should also be competent in assessing students' knowledge and skills at higher education level, expert in the field of study concerned and have appropriate academic or professional experience and authority.
- ii) In order to have sufficient time for the proper performance of their function, External Examiners are normally not expected to hold more than the equivalent of two substantive external examinerhips at the same time.
- iii) An External Examiner shall not normally be appointed from a Department/Division in which a member of UCL staff is serving as an examiner, although exceptions may on occasions be unavoidable, for example, in the case of subjects taught only in a very small number of institutions or subjects with an unusually high number of specialisms.
- iv) External Examiners shall be asked at the time of appointment or continuation in appointment to declare any interest in or connection with any student on the programme for which they are acting as examiner whether that interest or connection is personal or professional. If such an interest or connection exists, the examiner in question should not normally be appointed.
- v) After serving for a period of four consecutive years (or five years if an extension to service was approved), an examiner is not eligible for re-appointment for a period of two further years. The period of service is defined as the period of service as an External Examiner at UCL and not as the period of service as External Examiner to a particular Board of Examiners.
- vi) After serving for a period of not more than four normally consecutive years, or, in exceptional circumstances, for such limited extension of this period as the UCL Board of Examiners may determine, the examiner shall not be eligible for re-appointment to any External Examiner appointment for a professional doctorate at UCL (including an External Examiner appointment at UCL in a related subject area) until after a lapse of two further years. The period of service shall be defined as the period of service as an External

Examiner at UCL, not as the period of service as External Examiner to a particular Board of Examiners.

## **9.5 Additional Criteria for the Appointment of Examiners for the Thesis Component**

The thesis submitted as part of the professional doctorate will be examined by at least two examiners. One of these will be an External Examiner appointed in accordance with the procedure identified at 9.1, and the other shall be a member of the academic staff of UCL.

### **Further guidance on additional criteria for appointing examiners**

- i) For each student, two Faculty approved examiners shall be appointed by the appropriate postgraduate Departmental/Divisional committee.
- ii) It is expected that External Examiners for each thesis will normally be selected for their specialist knowledge of the field rather than knowledge of the precise area of research study.
- iii) Nominated examiners should not have acted as either a Principal or Subsidiary Supervisor of the thesis to be examined, nor have been involved in any collaborative academic or professional work with the student on the project to be examined. In addition, examiners should not be nominated if there is a close personal relationship between themselves and either the student or supervisors, or if there is an apparent conflict of interest of any kind.
- iv) Reciprocal examination arrangements are not permitted: staff from equivalent programmes should not be appointed as External Examiners if a member of staff in the home Department/Division is currently serving as an External Examiner in that programme. However exceptions may on occasion be unavoidable, for example, in the case of subjects taught only in a very small number of institutions or subjects with an unusually high number of specialisms.
- v) Examiners will not normally examine more than 5 theses in a single cohort.

## 10. Conduct of the oral examination

### 10.1 Format of the Oral Examination

- i) The oral examination will usually consider the student portfolio, including the outcomes of practicum assignments and assessments, related coursework and the research dissertation.
- ii) All oral examinations shall be conducted in the English Language.
- iii) If an oral examination is prescribed for the assessment of an element, all students enrolled on the element are expected to be examined accordingly.
- iv) Decisions relating to failed performance in the practicum assignment can be informed by an additional oral examination. This possibility should be clearly indicated to students as part of programme documentation. The outcome from the viva examination should inform the decisions of the Board of Examiners, alongside other assessments relevant to that assignment.

Where individual programmes examine only specific elements of the portfolio in the oral examination, this will be specified in their regulations.

### 10.2 Conduct of the Research Degree Examination

- i) The examiners will prepare independent preliminary reports on the thesis, conduct an oral examination and submit a final, joint and summary report to UCL. A report of the oral examination will normally be made to the Board of Examiners of the programme.
- ii) The oral examination shall normally be conducted in London.

#### Further guidance on the conduct of the research degree examination

- i) The examiners shall prepare independent preliminary reports on the thesis to assist in conducting the oral examination. After the examination copies of the preliminary reports together with the final, joint report should be submitted to the Student Centre in the UCL Student and Registry Services. The final report will be released to students. Examiner report forms and procedural information are available from the individual programme.
- ii) Each final, joint report by the examiners shall indicate whether the thesis meets the requirements specified in section 7.2, and shall include a statement on the examiners' judgment of the student's performance. Examiners have the right to make comments in confidence to UCL in a

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separate report. Such comments should not be concerned with the performance of the student but may cover matters which they wish to draw to the attention of UCL.

- iii) All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of material contained in a student's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, have been removed.
- iv) The Supervisor does not have the right to participate in discussion of students at the Board of Examiners but may contribute if invited to do so by the examiners.

### **10.3 Outcomes of the Oral Examination**

- i) Students must submit a thesis and any other aspects of the portfolio requested by the examiners and be examined orally.
- ii) The following options are open to examiners in determining the result of an examination:
  - a) If the thesis fulfils the criteria (set out in 7.2) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student has passed the research component of the award.
  - b) If the thesis otherwise satisfies the criteria (set out in 7.2) but requires minor amendments and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within a maximum of one month, amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.
  - c) If the thesis otherwise satisfies the criteria set out above, but requires stipulated amendments and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within a maximum of three months, amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.
  - d) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present their thesis in a revised form within a maximum of 12 months. The examiners may at their discretion exempt from a further

oral examination, on representation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for a maximum of 12 months for re-submission in a revised form, on one occasion only.

- e) The examiners may determine that the student has not satisfied them in the examination and hence has not passed the research component of the award, and is not therefore eligible for the award of a professional doctorate.
- f) The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.
- g) The award of a professional doctorate is conditional upon students passing all specified elements of their programme of study.

#### **Further guidance on outcomes of the oral examination**

- i) Students should refer to individual programme regulations for guidance on deadlines for resubmission of the thesis, which may be shorter than the maximum periods identified here.
- ii) Some professional doctorate programmes have an exit award other than a professional doctorate. Where this is the case, and examiners consider that a student has not met the requirements of a professional doctorate, they may recommend that the Board of Examiners confers this alternative exit award.

### **10.4 Appeal against the decision of a board of examiners**

Students cannot contest the decision of a Board of Examiners on academic grounds. Students can only contest the decision of a Board of Examiners on specific grounds as set out in the grievance procedures. (See link at the end of this section.)

### **10.5 Research misconduct: initiation of proceedings**

All cases of suspected research misconduct, including plagiarism, shall be investigated in accordance with the UCL Procedures for Investigating and Resolving Allegations of Misconduct.

- i) Cases of suspected research misconduct shall be investigated by following the procedures outlined in sections 10.5.1 and 10.5.2 below.

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- ii) More information about Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research is available. (See link at the end of this section.)

#### **10.5.1 Extent of Misconduct: Action Open to a Department/Division**

The following instances of research misconduct may be dealt with by the Department/Division concerned:

- i) A first instance of plagiarism in the early stages of the programme of study.
- ii) A first instance of misrepresentation of results in the early stages of the programme of study.

The following instances of research misconduct may be dealt with by the Department/Division concerned:

- i) A first instance of plagiarism in the early stages of the programme of study (prior to the end of the first year of study), including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent.
- ii) A first instance of plagiarism (including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent) in the later stages of the programme of study in which no more than 30% (approximately) of the work in question can be demonstrated to have been plagiarised or, in the case of plagiarised data, statistics etc, it can be demonstrated that they are not the main findings or among the main findings on which the argument of the thesis rests.
- iii) A first instance of misrepresentation of results in the early stages of the programme of study (in the first year of study).
- iv) A first instance of misrepresentation of results in the later stages of the programme of study which is judged to have been owing to error, misunderstanding or other extenuating circumstances.

#### **10.5.2 Extent of misconduct: action open to UCL**

The following instances of research misconduct shall be referred to the UCL Director of Student and Registry Services:

- i) Any instance of plagiarism, except those covered in 10.5.1.
- ii) Any repeated instance of plagiarism.
- iii) Any instance of misrepresentation.

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- iv) Any instance of piracy or fraud.
- v) Any instance of any kind of research misconduct which appears in published work.
- vi) Submission of a thesis for examination by a student when an allegation of research misconduct has been made.

The following instances of research misconduct must be referred for action by UCL:

- i) Any instance of plagiarism (including suspected collusion) other than a first instance falling under 10.5.1 above in which approximately 30% of the work can be demonstrated to have been plagiarised or, in the case of plagiarised data, statistics etc it can be demonstrated that they are the main findings or among the main findings on which the argument of the thesis rests.
- ii) Any repeated instance of plagiarism after a warning has been given, whether or not it exceeds 30%, or involves data, statistics etc which are not among the main findings on which the argument of the thesis rests.
- iii) Suspected use of another student's or person's work without that student's knowledge and consent.
- iv) Any instance of misrepresentation other than a first instance falling under 10.5.2 (iii) or (iv).
- v) Any instance of piracy or fraud, as defined in UCL's procedures.
- vi) Any instance of any kind of research misconduct which appears in published work, whether or not the work appears before or after the examination for the doctorate.
- vii) Submission of a thesis after the student has been warned not to submit it because of an allegation of research misconduct.
- viii) Where collusion between two or more students is established, all students concerned should be penalised.

### **10.5.3 Research Misconduct Discovered after Successful Completion of Thesis Examination**

UCL has the right to rescind an award if research misconduct is discovered after the examination of a thesis.

### **10.5.4 Appeal Against the Action Taken in the Event of Research Misconduct**

Students cannot contest a decision on academic grounds. Students can only contest a decision on specific grounds as set out in the grievance procedures. (See link at the end of this section.)

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## **Links for Section 10**

All links go to the UCL website, unless stated otherwise:

[UCL Student Grievance Procedure](#)

[UCL Procedure for investigating and resolving allegations of misconduct in academic research \(PDF\)](#)

# **11. Completing research status**

## **11.1 Completing research status**

- i) Where permitted by individual programmes all students who have completed their approved period of registration may register as CRS students while they write up their theses or complete outstanding practicum requirements. Transfer to CRS status is only permitted with the approval of the programme or appropriate departmental authority.
- ii) CRS is permitted for a maximum period of one calendar year (full-time) or two calendar years (part-time). CRS registration cannot be interrupted; a student who is prevented from completing the programme for reasons beyond his or her control may apply for an extension, as detailed in Point 11.4 below.
- iii) Students must be registered for the full duration of the programme of study before he or she will be eligible to take up CRS status. A student who changes from full- to part-time during the approved period of registration must have been registered for a minimum of one year part-time before being entitled to two years of part-time CRS status.
- iv) In addition to completing their approved programme of study, students must meet the following conditions before they will be allowed Completing Research Status:
  - a) They are in a position to submit their theses and/or outstanding assignments within 12 months (full-time students) or 24 months (part-time students).
  - b) They have met any other conditions set by the programme, department or division.

**Completing research statuses is permitted for the following programmes:**

- i) DClInPsy Clinical Psychology

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- ii) DEdPsy Educational Psychology
- iii) DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy
- iv) Doctorate in Clinical Communication Science (previously Doctor in Speech and Language Therapy)

**Completing research statuses is not permitted for the following programmes:**

- i) DDent Paediatric Dentistry
- ii) DEdPsy Educational and Child Psychology
- iii) Doctorate in Orthopaedics Trauma and Orthopaedics

## **11.2 Completing Research Student Status (CRS): Entitlements**

During the period of CRS students are entitled to have one draft of all or any part of his/her thesis read and commented upon by his/her Principal Supervisor and/or Subsidiary Supervisor before submission, with a similar level of oversight in relation to the practicum assignment.

- i) CRS status for students undertaking professional doctorates refers both to completion of research and outstanding practicum assignments.
- ii) Once enrolled, CRS students will continue to be able to use or will be reissued with a UCL identity card and be entitled to the use of all the general UCL facilities and services.
- iii) CRS students in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a Completing Research Student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's Supervisor and Head of Department/Division.
- iv) The student's Department/Division may, at its discretion, give any other supervisory assistance during the completion period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

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### **11.3 Submission of Thesis and/or Evidence of Completion of Outstanding Practicum Assignments**

- i) Students must submit their thesis and/or submit documentation evidencing completion of practicum assignments for examination before the end of his/her CRS period.
- ii) Students will remain registered after the submission of his or her thesis and/or documentation evidencing completion of practicum assignments until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

### **11.4 Extensions to the Completing Research Period**

Students, who cannot submit a thesis for examination and/or complete outstanding practicum assignments before the end of CRS due to circumstances outside the student's control, may apply for an extension. The maximum period of extension is one year, full-time and two years, part-time.

- i) Applications must be supported by a student's Department/Division and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the student's control.
- ii) Work commitments or any duties carried out for a Department/Division are not considered grounds for extension: submission of a thesis is expected to be a priority.
- iii) Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but Departments/Divisions are expected to make arrangements for alternative supervision under such circumstances.
- iv) The Application for extensions to CRS form is available on the UCL webpage about changing registration status. (See link at the end of this section.)

### **11.5 Submission of Thesis and/or Documentation Relating to Outstanding Assignments After the End of CRS**

- i) Students who submit after the end of their CRS registration will require permission to do so; this must be supported by a student's Supervisor or other Departmental/Divisional authority. If granted, the student will be permitted to

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submit but will not be re-registered unless his or her Department/Division require this.

- ii) Students who submit the thesis and or documentation relating to outstanding assignments after the end of their CRS period will be liable for a late penalty fee. (See link at the end of this section.)
- iii) Students who do not submit before the end of their CRS registration will cease to be registered as a student at the end of this CRS period. They will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice.

### **Further guidance on submitting a thesis/work after CRS**

- i) Students who submit after the end of their CRS registration will pay a penalty fee equivalent to the part-time home fee current at the time.
- ii) This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months.
- iii) For late submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home, part-time fees current in the year of submission. (See link at the end of this section.)

## **11.6 Resubmission of a thesis**

- i) Students whose thesis is referred by their examiners for substantial revision within 12 months will remain registered as a submitted student on the basis of 11.3 above, provided the original submission was not after the expiry of a period of CRS status.
- ii) Under these circumstances they will have access to UCL facilities and will be entitled to have one draft of his or her thesis read and commented on by their Principal Supervisor and/or Secondary Supervisor before re-submission.
- iii) When a student's revisions require more supervision or further access to UCL laboratories or other facilities, they may be required to re-register as a fee paying student for the period of this supervision or access.

## **Links for Section 11**

All links go to the UCL website, unless stated otherwise:

[UCL changes to your Registration Status](#)

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[UCL Late submission fees for research students](#)

## **12. Graduation Ceremonies**

### **12.1 Graduation Ceremonies**

UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications. (See link at the end of this section.)

### **12.2 Academic Robes**

It is mandatory for all UCL graduates to wear academic robes to the graduation ceremonies. It is the responsibility of students to obtain the appropriate robes from UCL's suppliers. (See link at the end of this section.)

### **Links for Section 12**

All links go to the UCL website, unless stated otherwise:

[UCL Graduation Ceremonies](#)

[UCL Graduation Robes](#)

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