

London Doctoral Academy

Research Degrees Code of Practice

Doctor of Philosophy (PhD)
PhD by Published Work
Professional Doctorate
Higher Doctorate
Master by Research (MA(Res), MSc(Res))

Master of Philosophy (MPhil)

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About the Research Degrees Code of Practice

The University's Academic Regulations provide the means through which the standards of our academic awards, including research degrees, are assured

www.lsbu.ac.uk/__data/assets/pdf_file/ooo8/84347/academic-regulations.pdf

The Research Degrees Code of Practice should be read alongside the University' Academic Regulations and the other University policies relevant to this Code. It summarises the principles and processes for the University's postgraduate research degree programmes:

- Doctor of Philosophy (PhD)
- PhD by Published Work
- Professional Doctorate (awards including EdD, DBA and D.title of specific award)
- Higher Doctorate
- Master by Research (MA(Res), MSc(Res))
- Master of Philosophy (MPhil)

For additional information on supervision practice and responsibilities see our Supervision Handbook

Change control	
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For any queries please contact pgr@lsbu.ac.uk

1 Academic Awards

A research programme can be approved in any field where we have relevant research expertise and can offer appropriate supervision. Proposed research programmes are considered on their academic merits and without reference to any funder.

Award titles are formally approved by the Academic Board and may not be changed without its approval.

The Academic Board can discontinue an award and at that time no more students can be enrolled.

1.1 Awards available

The University has research degree awards at academic levels 7 and 8 in the Framework for Higher Education Qualifications. The full list of our current awards is available at www.lsbu.ac.uk/ data/assets/pdf file/ooo4/96259/list-of-awards.pdf

1.2 Standard to be achieved

The standard you need to achieve for our research degrees is established by QAA's UK Quality Code for Higher Education Part A Setting and Maintaining Academic Standards October 2014: www.qaa.ac.uk/en/Publications/Documents/qualifications-frameworks.pdf

These are the overall requirements and some individual programmes may have additional learning outcomes. For all our research degrees you will need to present and defend a thesis in a *viva voce* (oral examination) and satisfy the examiners.

Our research degrees are at qualification levels 7 or 8. www.gov.uk/what-different-qualification-levels-mean/list-of-qualification-levels

1.1.1 All Doctoral Degrees (Level 8)

Doctoral degrees are awarded for the creation and interpretation, construction and/or exposition of knowledge which extends the forefront of a discipline, usually through original research. Professional Doctorates will normally develop solutions to a work-related problem. You will need to show:

- Creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- Systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- Exercise of independent critical powers. These will include the ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to modify your project design in the light of unforeseen problems;
- Understanding and use of applicable research methods and advanced academic enquiry in your chosen field.

In order to achieve this standard you will need to be able to:

- Make informed judgments on complex issues in specialist fields, often in the absence of complete data;
- Be able to communicate your ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
- Continue to undertake research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches;
- Have the qualities and transferable skills necessary for employment, requiring the exercise
 of personal responsibility and largely autonomous initiative in complex and unpredictable
 situations in professional or equivalent environments.

1.2.2 Masters by Research and MPhil (Level 7)

You will need to show:

- Systematic understanding of knowledge, and a critical awareness of current problems and/ or new insights, much of which is at, or informed by, the forefront of the academic discipline, field of study or area of professional practice;
- Understanding and use of applicable research methods in your chosen field;
- Originality in the application of knowledge, together with a practical understanding of how
 established techniques of research and enquiry are used to create and interpret knowledge
 in the discipline;
- Conceptual understanding that means you can:
 - evaluate critically current research and advanced scholarship in the discipline
 - evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

In order to achieve this standard you will need to be able to:

- Deal with complex issues systematically and creatively, make sound judgements in the absence of complete data, and communicate your conclusions clearly to specialist and nonspecialist audiences;
- Demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level;
- Continue to advance your knowledge and understanding, and to develop new skills to a high level;
- Have the qualities and transferable skills necessary for employment requiring the exercise of
 initiative and personal responsibility, decision-making in complex and unpredictable situations
 and the independent learning ability required for continuing professional development.

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1.3 External Collaboration

We encourage research that collaborates with industrial, commercial, charitable, professional or research organisations. Collaboration may involve:

- Use of external facilities, resources or data;
- Joint supervision, or an external adviser as part of the supervisory team;
- Financial sponsorship such as stipend or annual payment to the student; payment of all
 or part of the university fees; contribution to expenses like conference attendance
 or equipment.

If your proposed research programme involves collaboration then when you apply you must send either:

- A formal letter from the collaborating organisation confirming the arrangements;
- A contract with the organisation.

If collaboration is an integral part of the project (e.g. Research Council CASE awards) you do not need to provide a letter or contract.

The name of a collaborating organisation is shown on your thesis and degree certificate.

If a new opportunity to collaborate arises while you are a student you may need to comply with Research and Enterprise or International Partnership approval processes. Ask the Postgraduate Research Degrees team to discuss this before making arrangements.

2 Application

You need to apply through UKPASS pgapp.ukpass.ac.uk/ukpasspgapp/login.jsp

2.1 Entry Qualifications

These are our <u>minimum</u> entry qualifications for research degrees. Some courses may require higher qualifications so please check our Course finder on the London South Bank University web site for details of your particular course and our typical entry qualification.

English language

International students need to show they have an appropriate standard of English. This is at least:

- MRes IELTS 6.5
- Doctoral programmes in Schools of Engineering and the Built Environment and Architecture
 IELTS 6.5
- Doctoral programmes for Schools of Applied Sciences, Arts and the Creative Industries,
 Business, Health and Social Care, Law and Social Sciences IELTS 7

If you want to present your thesis in another language you must ask when you submit your Research Proposal (on the RES2 form). Permission is usually given only for language and related studies research.

MRes

You should normally have at least a 2.2 honours degree from a UK University, or an equivalent qualification.

PhD

You should normally have at least a 2.1 honours degree from a UK University, or an equivalent qualification.

Other qualifications can be considered. The University will assess your ability and background knowledge in relation to your proposed research. This will include professional experience, publications and written reports.

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If your work is part of a larger group project you can still apply for a research programme. You will need to show your project can be separately identified for assessment. Your application must explain how your proposed research relates to the group project.

Professional Doctorate

You should normally have a Masters degree in a relevant discipline from a UK University or an equivalent qualification, plus at least three years full-time experience in a relevant professional area.

If you don't have a Masters but can demonstrate appropriate experience and qualifications then you can be considered. You need to provide evidence such as publications, written reports, a portfolio of work and a critical and reflective essay.

PhD by Published Work

You must demonstrate appropriate published work.

You also need a 'significant connection' with the University. Examples of this are:

- Current members of University staff and affiliated institutions. Where affiliated institutions can award a PhD themselves we will not accept their members of staff;
- Alumni (staff and students):
- Employees of external organisations who the University collaborates with in research or educational partnerships who have been approved by the Research Board of Study.
- Alumni of employees of external organisations as defined previously who personally collaborated with the University within three years of their leaving the organisation;

Higher Doctorate Applicants

You must demonstrate appropriate work and publications. You also need a 'significant connection' with the University (see previous section).

2.2 Acceptance

In order for you to be considered for acceptance you must:

- Meet the eligibility requirements outlined in section 2.1;
- Have a research proposal that fits School research expertise;
- Have funding for the length of the programme to cover both your student fees and living expenses. This can be sponsored or self-funded;
- If you are an international student you must meet our tier 4 visa requirements www.lsbu.ac.uk/__data/assets/pdf_file/ooo5/88592/ tier4-sponsorship-confirmation-acceptance-for-studies-cas.pdf

The School should be able to provide a supportive research environment that includes:

- Proposed supervisory team with relevant experience in the field of research;
- Appropriate national and international excellence in the research and a supportive research community within the School's wider research discipline;
- Any resources needed to support the research including experimental equipment, computer software and hardware, and technical support required for the research.

2.3 Distance Learning

We can offer students from outside the UK distance learning for a PhD in the following circumstances:

- Suitable research facilities are available in both the University and abroad;
- Supervision arrangements can offer frequent and substantial contact and communication between the student and the UK Supervisor(s). This should be at least every three months;
- The full supervisory team will be able to meet together with the student at least every six months.

You must be able to spend at least six weeks every other year at the University. You must not have a full-time visa for studying in the UK <u>or</u> a scholarship <u>or</u> funding that requires longer periods of attendance in the UK.

3 Registration

3.1 Registration timing

You are expected to 'complete' within a set timescale. 'Complete' means you have submitted your thesis, had the examination, made any revisions and had your award ratified. If you find your research is going to run over the maximum time allowed to completion you must apply for an extension. Your time to completion will be affected by whether you have major or minor corrections. See section 3.2 for how to apply for an extension.

You must also submit your thesis within a set timescale. We have formal assessment stages, RES2, RES3 to RES4A and B where your progress is evaluated at School Panel Review to help you manage this. Your time to submission excludes any time when you have had formal approval to interrupt your studies. If you find you are not going to be able to submit your thesis on time then you must apply for an extension.

Time to initial submission of your thesis and completion of the award

		Maximum time (months) to thesis submission	Maximum time (months) to completion of award including any corrections
Masters by Research	Full-time	12	18
	Part-time	24	30
PhD	Full-time	36	48
	Part-time	48	60
Professional Doctorate	Part-time		
-Taught component		24	24
-Research component		36	60
-Total		60	84
PhD by Published Work		12	12
Higher Doctorates		12	12

Award ratification is the confirmation of the award of your degree by the University Research Committee following the recommendation of the examiners. The time to ratification for a

doctorate will vary but is typically 3-15 months depending on whether or not you have no corrections or minor or major corrections.

Your registration period runs from enrolment to completion of your final thesis. Registration is formally approved at Research Proposal Submission (form RES2) then backdated to enrolment. Before formal approval you are on probation. Section 4 of this Code of Practice explains the stages of progression and how we evaluate your progress.

If you transfer in from another university we may approve a timescale that takes into account all or part of your time already spent on the research. This is called 'advanced standing'. Your previous university will be asked for proof of your research progress to date. You need to apply for transfer in and 'advanced standing' using the RES 2 form for Research Proposal submission. Your prospective Supervisor will help you with this.

3.2 Extending or Interrupting your Registration, or Withdrawing

You must tell your Director of Studies (First Supervisor) immediately if you need to extend or suspend your research or withdraw from the programme.

An 'extension' is needed when you find that you require more time to complete your degree than you originally thought. This can include a situation where you did not formally interrupt your studies as required but there are mitigating circumstances such as significant ill health. You must apply to the University Research Board of Study to extend your registration before the end of your original registration. You should agree an extension is appropriate with your Director of Studies (First Supervisor). They will then discuss your request with the Postgraduate Director of Research for the School who will write formally to the University Research Board of Study to request approval for the extension. In exceptional circumstances the University may apply for an extension on your behalf.

An 'interruption' is needed when you want to temporarily suspend your research and intend to continue later. You must apply to the Research Board of Study using the 'Interruption of Studies Form' available from your Research Degrees Support Officer. An interrupt is normally for six months but can be up to two years. Reasons you may ask to interrupt are:

- A major factor such as ill-health or unexpected family or work difficulties that prevent you making progress with your research;
- If you have financial problems and can't pay fees before the end of the academic year.

In exceptional circumstances the University may apply for an interruption on your behalf. See section 2.3 of the University's Interruption, Suspension and Withdrawal procedure.

 $www.lsbu.ac.uk/__data/assets/pdf_file/ooo5/96269/interruption-suspension-withdrawal-procedure.pdf$

A 'withdrawal' means you would like to give up your research before successful completion. You should use the 'Withdrawal from Course Form' available from My LSBU.

The University can also withdraw you from the programme if your progress is unsatisfactory. This is a possible outcome of the RES progression panels for stages 2-4.

Once the University has withdrawn you from a course following the outcome of a Panel Review you cannot re-enrol onto that course again.

3.3 Fees

The fee payable in your first year is that advertised on our website for the academic year you joined, and will vary according to whether you are a home or international student. The fee in subsequent years will include an agreed inflationary increase.

If you interrupt or withdraw you may get a refund depending on the time of the academic year that the fully signed off form is received by the Postgraduate Research Degrees Team.

When you return to your research and re-enrol after interrupting you will pay the current advertised fee for the year you are returning in. This is likely to be higher than the rate you were paying previously.

A reduced fee is available when you are writing up. To be eligible for this you must:

- Complete the Change of Course form available from My LSBU. Your Supervisor should sign the form as confirmation that your data analysis is complete and that you will submit your thesis that academic year (no later than 12 months from transferring to writing up status. This will be Year 4 for full-time and Year 5 for part-time;
- The Change of Course form will also need to be signed off by your Director of Postgraduate Research.

If you transfer to a writing up fee status part-way through the academic year, you would pay full fees to the point of your form being received by the fees office, plus a whole year writing up fee. The reduced level is available for a maximum of two years. After this you will revert to paying full fees. The Fees Office will confirm you will receive the reduced fee.

The reduced writing up fee will be automatically applied when you are transferred to writing up status. If you would like to know the current fee please contact the Fees Office.

4 Progression: PhD and Professional Doctorates

Student progress for the standard PhD and Professional Doctorates is monitored through a series of formal stages by School Panels. Panels allow us to assess progress on your research and make sure the target timescale for completion (see section 3) is met.

Diagram showing structure of a full time PhD

	Month	Research Student Task	University Task
	1 st	Enrolment	
-	6 th	Research Proposal Submission (RES2)	
Year 1	7 th	Review Panel	Review Panel
	8 th		RBoS Approval
	12 th	First Progress Report (RES ₃)	
	2 nd	Review Panel	Review Panel
	3 rd		RBoS Approval
2	6 th	Interim Progress Report (RES4A)	
Year 2	7 th	Review Panel	Review Panel
	8 th		RBoS Approval
	12 th	Annual Progress Review and Professional Development (RES4B)	
M	1 st	Review Panel	Review Panel
	2 nd		RBoS Approval
m	6 th	Interim Progress Report (RES4A)	
Year 3	7 th	Review Panel	Review Panel
	9 th		Examination Arrangements (RES11)
	12 th	Thesis Submission and Declaration Form (RES13)	

Diagram showing structure of a part time PhD

University Task	Research Student Task	Month
	Enrolment	1 st
	Reseach Proposal Submission RES2	9 th
Review Pane	Review Panel	10 th
RBoS Approva		11 th
	First Progress Report (RES3)	6 th
Review Pane		7 th
RBoS Approva		8 th
	Annual Progress Review and Professional Development (RES4B)	12 th
Review Pane	Review Panel	1 st
RBoS Approva		2 nd
	Interim Progress Report (RES4A)	6 th
Review Pane	Review Panel	7 th
RBoS Approva		8 th
	Annual Progress Review and Professional Development (RES4B)	12 th
Review Pane	Review Panel	1 st
RBosS Approva		2 nd
	Interim Progress Report (RES4A)	6 th
Review Pane	Review Panel	7 th
RBoS Approva		8 th
	Annual Progress Review and Professional Development (RES4B)	12 th
Review Pane	Review Panel	1 st
RBoS Approva		2 nd
	Interim Progress Report (RES4A)	6 th
Review Pane	Review Panel	7 th
RBoS Approva		8 th
Examination Arrangements (RES11		9 th
	Thesis Submission and Declaration Form (RES13)	12 th

For a Professional Doctorate the time for completion of the initial taught modules comes before the PhD research timeline starts. The time for the research is one year less than for the part time PhD, with one year of RES4A/B omitted.

If you have to extend you will be required to undertake additional RES4A/B at six monthly intervals.

The MRes research proposal concept comes from your original application with no formal intermediate assessment. It is examined by a 30,000 word dissertation and a *viva voce*. Good supervisory practice which includes opportunities to practice panel presentation and receive feedback is outlined in sections 5 and 10 of our Supervision Handbook.

4.1 PhD Progress Monitoring

Stage	Full-time	Part-time	
Enrolment	At invitation from LSBU. Typically last Thursday in the month		
Re-enrolment	By 31 st August (annually) regardles	s of when you first enrolled.	
RES 2: First Research Proposal Submission	Within 6 months from date of enrolment	Within 9 months from date of enrolment	
RES 3: First Progress Report	Within 12 months of enrolment	Within 18 months of enrolment	
Progression review and training needs analysis.			
RES 4: Interim and Annual Progress Reports RES4A Interim report evaluates progression RES 4B Annual report review of skills development and further training needs	18 months (RES 4A) 24 months (RES 4B) 30 months (RES 4A)	24 months (RES 4B) 30 months (RES 4A) 36 months (RES 4B) 42 months (RES 4A) 48 months (RES 4B) 54 months (RES 4A)	
Writing up Stage when all data has been collected and the student is finalising the thesis to submit within the academic year	3 years must be completed to be considered for a writing- up fee reduction, subject to Supervisor approval	4 years must be completed to be considered for a writing- up fee reduction, subject to Supervisor approval	
RES 11: Examination Arrangements	Submitted 3 months before submission of soft-bound theses for the examination to the Postgraduate Research Degrees Team		
Thesis submission for examination and RES 13 Declaration Form	Submitted 2 months before date of examination.		

Award of Research Degree	If successful, submission of final copy of thesis as one document in PDF format on non-returnable data stick	
Conferment	Initially by letter and celebrated at the next graduation point, normally October	

4.2 Professional Doctorate Progress Monitoring

The timetable below follows on from successful completion of the taught part of the programme.

Stage	Part-time
Re-enrolment	By 31st August
RES 2: Formal Research Proposal Submission	Within 9 months from transfer to the research stage of the programme
RES 3: First Progress Report	Within 18 months of enrolment progression review and training needs analysis
RES 4: Interim and Annual Progress Reports RES4A Interim report evaluates progression RES 4B Annual report review of skills development and further training needs	24 months (RES 4B) 30 months (RES 4A) 36 months (RES 4B) 42 months (RES 4A) 48 months (RES 4B) 54 months (RES 4A)
Writing up Stage when all data has been collected and the student is finalising the thesis to submit within the academic year	4 years must be completed to be considered for a writing-up fee reduction, subject to Supervisor approval
RES 11: Examination Arrangements	Submitted 3 months prior to submission of soft- bound theses for the examination to the research degrees team
Thesis submission for examination and RES 13 Declaration Form	Submitted 2 months before date of examination
Award of Research Degree	If successful, submission of final copy of thesis as one document in PDF format on non-returnable disk/flash drive
Conferment	Initially by letter and celebrated at the next graduation point, normally October

4.3 Progression Stages

The RES stage structure is part of our new procedures introduced in 2016. If you are completing under old procedures (pre September 2015) please ask the Postgraduate Research Degrees Team for information. The formal RES stages ensure progression is monitored, any issues are identified and you are given support as early as possible. They are also designed to give you practice in a formal panel assessment in order to help prepare for the final *viva voce*. You must pass RES2 Research Proposal submission in order to continue with your PhD or Professional Doctorate. If you do not pass RES2 or RES3 first time you are given one month to resubmit, and the outcome of this second panel will be final. At later panels RES4A and RES4B two failures in a row will mean we are not able to allow you to continue with a PhD or Professional Doctorate. If this happens we will suggest alternative awards or withdrawal.

The Supervision Handbook (section 5.2) sets out in detail the process used at School Review Panels and the possible outcomes from each panel. It also explains the type of questions asked at each panel and suggests areas you should consider including in the scope of your presentation. You complete the RES forms online using our HAPLO PGR Manager, with support from your supervisory team.

All RES forms are evaluated by a School Panel Review. This is made up of an independent academic with topic/methods relevant experience, the supervisory team where available, and the option of an Independent Chair. Though a Mentor or Adviser may be part of the supervisory team they do not attend the panel. The format for all panels is you present your research to date and are questioned by the panel. The Supervisors are observers. You then receive feedback.

The panel will send their recommendation to the Research Board of Study for ratification.

4.3.1 RES2: Formal Research Proposal Submission

After enrolment you are effectively on probation until your research proposal is formally accepted through the RES2 process. Your proposed research programme, which will have been developed with your supervisory team, is evaluated by the School Review Panel. They will decide if the research proposal is appropriate and if resources, facilities and supervision are available.

4.3.2 Ethics

Research must comply with the Ethics Code of Practice set out by the University Ethics Panel. Ethical approval must be obtained before starting your research, and cannot be granted retrospectively.

4.3.3 RES 3: 1st Progress Report

There is no set approach for your report. You need to demonstrate your progress. Relevant areas to cover are:

- Refining of the theoretical concepts;
- Process of gaining ethical approval;
- Undertaking fieldwork;
- Analysis of data;
- Writing of chapters;
- Timetable of work outstanding and proposed schedule of completion;
- Skills development;
- Publications and presentations.

In addition to reviewing progress you must produce a report of 10,000 words. It should normally include part of the literature review and methodology. This can eventually form part of the thesis.

4.3.4 RES 4: Reports

There is no set approach for your report. You simply need to demonstrate your progress. The six monthly stages use RES forms 4A for progression and 4B for development and training.

4.4 Appeals

To appeal against the decision of the School Panel Review you need to write formally to the Research Board of Study explaining the circumstances.

The only ground for appeal is new evidence that is likely to have altered the original decision of the panel if it was known. Appeal is restricted to significant administrative or procedural error in the conduct of the assessment. If you are considering appealing we suggest you consult the Postgraduate Research Degrees Team pgr@lsbu.ac.uk

5 Examination

Only the Academic Board can formally award or revoke a research degree. The University Research Board of Study makes a recommendation based on the reports and recommendation(s) of the examiners. This formality is an important part of assuring the quality of our research degree outputs and achieving consistency of standards.

Assessment underpins research degree standards. A candidate's achievements and research-relevant attributes are tested at final assessment. The examination for doctoral awards and MPhil and MRes is in two stages:

Stage 1 - Submission of a thesis and initial assessment by the examiners. The examiners will decide if the thesis meets the standard for the award of the degree for which it is submitted, as defined in section 1.2. Candidates will normally proceed to stage 2 unless the examiners make a strong case to University Research Board of Study to defer examination.

Stage 2 - Defence of the thesis by *viva voce* or approved alternative examination.

The aim the *viva voce* is for candidates to show the examiners that they have achieved the standard required for their qualification (see section 1.2). The core questions the examiners will be looking to identify are:

- Is the thesis is the candidate's own work?
- Does the candidate demonstrate:
 - An independent and original contribution to knowledge;
 - The exercise of independent critical powers;
 - Competence in understanding and use of research methods appropriate to their chosen field.

Where the University Research Board of Study recognises a candidate would be disadvantaged by a *viva voce* an alternative form of examination may be approved. Poor spoken ability in the language in which the thesis is presented is not an acceptable reason.

The *viva voce* is normally held in the United Kingdom. In exceptional cases the Research Board of Study may give approval for the examination to take place abroad or through video conferencing.

An award may be conferred posthumously. The thesis must have been completed. The Research Board of Study will assess if the student would have defended the thesis successfully had the *viva voce* taken place.

The University Research Board of Study will ensure that all examinations are conducted and the recommendations of the examiners are presented in line with the University's regulations. Where irregularities in the preparation of the thesis or the conduct of the examination are identified after the examiners' recommendation, the University Research Board of Study will investigate. They will consult with the examiners, and take appropriate action. Failure to comply with examination procedures may lead to the examination result being declared invalid and

5.1 Examination Procedures

the appointment of new examiners.

You should discuss and agree with your Supervisor that you are ready to submit (using the RES11 form). You should not assume that your Supervisor's agreement to submission will lead to the award of the degree.

You must send the Postgraduate Research Degrees Team hard copies of your thesis for each member of the examination team plus one extra. The examiners' preliminary report form and the University's regulations and notes for guidance on procedures are available online for examiners on HAPLO PGR Manager.

The Director of Studies (First Supervisor) is responsible for examination arrangements and will ask the Research Board of Study for approval at least three months before the expected date of your examination. The Director of Studies will inform the student, Supervisors, the examiners, the Independent Chair and the Postgraduate Research Degrees Team of the examination date, time and venue. The examination will only take place after all arrangements have been approved. In some circumstances the Research Board of Study may directly appoint examiners and arrange the examination of a student.

Students must not contact the External Examiner(s) between their appointment and the viva voce.

5.2 Thesis

You must confirm (using the RES 13 form), that your thesis has not been previously submitted for a comparable academic award. Work which has already been submitted for a degree or comparable award may be included in the thesis. It must be described on the declaration form and highlighted in the thesis.

5.2.1 Thesis Content

Unless you have obtained previous permission from the University Research Board of Study the thesis must be written in English. It must include:

- Abstract of approximately 300 words providing a synopsis of the thesis stating the nature and scope of the work undertaken and the contribution made to the knowledge of the subject;
- Statement of the research objectives;
- Acknowledgement of published or other sources of material consulted, using referencing, including an appropriate bibliography, and any help received;
- Where the research programme is part of a collaborative group project the thesis must show your individual contribution and the extent of the collaboration.
- Information on any publication in advance of the thesis and copies of the published material. This can be included in the thesis or placed in a pocket at the end of the thesis.

Traditionally a shortened thesis is accompanied a piece of significant scientific research. This is also applicable to the creative field where it is possible to present a Thesis by Research by Practice (PAR). The thesis includes a creative component along with a critical reflective analytical written component that demonstrates the original contribution to knowledge in the creative field. Examples of relevant creative areas are:

- Photography
- Sound Production
- Theatre Practice

- Film Making
- Creative Writing
- Radio Production

- Game Design
- Media Arts

5.2.2 Thesis Length

Your thesis, excluding additional data is normally expected to be as per the length below with a variation of +/- 10%:

- Masters by Research 30,000 words
- PhD in Humanities, Social Sciences, Business, Health and Education 80,000 words
- MPhil in Humanities, Social Sciences, Business, Health and Education 40,000 words
- PhD in Psychology, the supervisory team will advise whether word count should be 80,000
 or 40,000 words depending on what methodology or other factors are being used for the
 research;
- Professional Doctorate 45,000 words. (Note the EdD requires an additional 2,000 word report).

Where it has been agreed at the Research Proposal submission and approval stage (RES2), a shortened thesis may accompany a separate substantial practical outcome. The form of artefacts and outputs of a practical nature will relate to the candidate's subject area.

- PhD in Science, Engineering, Computing, Art and Design 40,000 words
- MPhil in Science, Engineering, Computing, Art and Design 20,000 words

5.2.3 Confidentiality

LSBU policy is that theses are made openly available on award via LSBU Research Open using a Creative Commons Attribution license to allow the global dissemination of research findings. Through this, candidates participate in the British Library's EThOS scheme for the distribution of doctoral theses following award. This includes allowing the reproduction and sale of copies of the thesis by the British Library and its agents.

If the confidential nature of the research requires restricted access the University can ensure the thesis is only available to those directly involved in the project for an agreed period. This is normally only permitted to allow a patent application or to protect commercially or politically sensitive material. Access cannot be restricted in order to protect research leads.

If you want the thesis to remain confidential after completion of the work you must apply in writing via the School's Director of Postgraduate Research to the University Research Board of Study. The maximum period that will be approved before submission is two years following the date of submission. After submission an extension to three years can be requested by writing to the Postgraduate Research Degrees Team and explaining the reasons why this is needed. You must do this at least three months before the end of the previous embargo. Your request will need to be approved by the Research Board of Study.

Copies of the thesis remain the property of the University. Copyright in the thesis will belong to the student. The University will normally retain the right to exploit intellectual property arising from the thesis work unless the terms under which the research programme is funded or commissioned assigned them elsewhere. The University will normally assign the IP rights to the student at the end of their programme of study unless this might prejudice the exploitation of the rights. The University's policy on intellectual property assignment for staff and students is available at www.lsbu.ac.uk/about-us/policies-regulations-procedures

Where the terms under which your research programme is funded or commissioned assigned intellectual property rights elsewhere we will tell you before you accept the research project.

5.2.4 Thesis Presentation Format

The hard copy thesis submitted for viva may be submitted in a secure temporary binding.

The written component of your final thesis should be submitted in electronic PDF format to the Postgraduate Research Degrees Team on a non- returnable data stick. You will be given your certificate in return, provided no money is owed to the University. The Postgraduate Research Degrees Team will forward the thesis to Library and Learning Resources for adding to LSBU Research Open; the British Library will then harvest the thesis for adding to EThOS.

The format should be:

- A4. The Research Board of Study may give permission for an alternative format where the thesis can be better expressed in that format;
- The font in the main text must be 11 or 12 font size, and consistent and readable;
- Printed on one side of the page;
- White paper;
- The margin at the left-hand binding edge of the page must be at least 40mm. Other margins must be at least 15mm;
- Double or one-and-a-half spacing must be used except for indented quotations or footnotes where single spacing may be used;
- Pages must be numbered consecutively through the main text including photographs and diagrams included as whole pages;
- Turnitin receipt;
- The thesis should be soft bound in such a way that pages cannot be added or removed.
- The title page (see example on next page) must include:
 - LSBU logo
 - Title of the thesis (24 font size);
 - Full name of the author (24 font size);
 - ORCID candidate identifier (your unique digital researcher reference for all published material www.orcid.org)
 - Degree is awarded by London South Bank University (12 font size);
 - Award for which the thesis is submitted (12 font size);
 - Collaborating Establishment(s), if any (12 font size);
 - Month and year of submission (12 font size).

Example thesis title page



THE ORIGINS OF THE FARMERS'CO-OPERATIVE IN WESSEX

PERCY FOOTWYND

http://orcid.org/XXXX-XXXX-XXXX

A thesis submitted in partial fulfillment of the requirements of London South Bank University for the degree of Doctor of Philosophy

This research programme was carried out in collaboration with Borchester Farmers Club

October 1992

5.3 Examination Team and Management of the Viva Voce

A team of two or three examiners are needed. There must be at least one External Examiner and one Internal Examiner.

No-one undertaking a research degree may act as an examiner.

The student's line manager may not be an examiner.

Candidates should not contact the examination team before the examination.

5.3.1 Independent Chair

An Independent Chair is chosen by the Postgraduate Research Degrees Team from the University's panel of Chairs. Requirements of an Independent Chair are:

- Experience of research degree examinations either as an Internal or External Examiner;
- Training for the role as an Independent Chair;
- No direct involvement in the student's research such as extensive review of ethics application or a transfer report or publication, or participation in a mock examination. Members of the candidate's Supervisory team may not act as Independent Chair.
- Familiar with this Code of Practice

The Independent Chair does not participate in the examination. Their role is to provide advice on procedures, guidelines and academic regulations, and ensure that the interests of the student are protected. Though they are sent a copy of the thesis they do not need to read it or have any knowledge of the research subject.

They are responsible for signing off the result of the examination, and informing the University Research Board of Study that any corrections have been made to the satisfaction of the examiners. They will:

- Receive the signed copies of the preliminary reports (forms RES 14A or RES 14B) from the examiners as can be seen in HAPLO PGR Manager;
- Chair a preliminary meeting of the examiners and agree an agenda for the viva voce;
- Introduce everyone and outline the agenda;
- Ensure that each agenda item is dealt with and manage the timing;
- Make notes throughout the *viva voce* which may be used as evidence to contribute to any subsequent appeal;

- Intervene in the examination if there appears to be bias, misconduct, unfairness or if the examiners are diverting from the agenda in a way that might disadvantage the candidate. Interventions can include asking for a temporary break, a private discussion with the examiners or the candidate, or exceptionally, ending the *viva voce*.
- Chair the discussion after the viva voce and help the examiners agree their recommendation:
- Ensure the examiners complete and sign the recommendation of examiners (form RES 15A or 15B) and then countersign this;
- Agree a timeframe for the examiners to produce a report outlining any corrections that the candidate needs to complete;
- Send the list of corrections to the Director of Studies (First Supervisor) and the Postgraduate Research Degrees Team. The Director of Studies will send the list of corrections onto the student.

The Independent Chair should receive a copy of any thesis corrections sent to the examiner(s) for review. They must review the examiners' response to the corrections before signing off the paperwork approving the award.

5.3.2 Internal Examiner

The Internal Examiner is a member of academic staff at the University. They may be experienced in the examination of research degree students or knowledgeable in the particular field of research.

No one from the candidate's supervisory team can act as an examiner.

They must not be their line manager

They may not have been an Independent Reviewer at School Panel Review in the final year of student assessment.

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5.3.3 External Examiner

Requirements of External Examiners are:

- Expertise in the field and particular interest in the candidate's research topic
- Substantial experience examining research degree students, normally three or more previous *viva voce*, including experience in the type of research degree to be awarded;
- Independent of the University and any collaborating organisation;
- Never been the candidate's Supervisor or Adviser;
- Not normally be an External Examiner on a taught course in the same academic department at the University;
- Previous members of staff are not normally approved as External Examiners until three
 years after they have left the University;
- External Examiners should normally have a gap of at least 2 years between research degree examinations at London South Bank University.

The University will assess and pay the fees and expenses of the External Examiners. This is central funding from Teaching, Quality and Enhancement Department managed by the Postgraduate Research Degrees Team. If a School proposes an examiner from an overseas institution, the School will be required to fund the additional international travel costs.

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5.4 Examination Process and Outcomes of the Viva Voce

All examiners must read the thesis, and submit a preliminary report, on the appropriate RES 14 form. They will assess whether the thesis meets the requirements of the degree.

The Chair of the Research Board of Study (or a nominee), has the right to attend the *viva voce*. Supervisors and Advisers may also attend if the candidate permits but may not speak and must leave before discussion on the result of the examination.

At the *viva voce* the Examiners may tell the candidate their recommendation, but must make it clear that the final decision is subject to ratification by the University.

A further examination in addition to the *viva voce* may be requested by the examiners. This must be held within two calendar months of the oral examination, unless the University Research Board of Study permits otherwise.

The examiners then submit a joint report and their recommendation on the degree award to the University Research Board of Study. Where the examiners cannot agree the decision will be referred to the University Research Board of Study. This may be dealt with via Chair's action. The University Research Board of Study can decide to:

- Accept a majority recommendation provided that the majority recommendation includes at least one External Examiner;
- Accept the recommendation of the External Examiner;
- Ask for an additional External Examiner to review the thesis. The additional External Examiner will review the thesis without being informed of the recommendations of previous examiners. If considered necessary by the Examiner the University Research Board of Study may require an additional *viva voce*;

Possible recommendations where the examiners agree after the viva voce are:

- 1. Award of the degree, no amendments;
- 2. Award of the degree subject to minor amendments being made to the thesis. A maximum of three months is normally allowed to resubmit. Amendments can be approved by either the internal or external or all examiners the examiners will specify who should do this. Minor amendments are typically typographical or grammatical errors, inappropriate references or changes that do not affect the findings of the thesis;
- 3. Re-examination is needed. This can be just the *viva voce*, just the thesis or both. Re-examination of the thesis means major revisions are needed, typically, substantial changes in two or more chapters or elements. A maximum of 12 months is normally allowed to resubmit:

- 4. Subject to the thesis being amended to the satisfaction of the examiners an alternative level 7 award may be given. For PhD candidates, award of the degree of MPhil, for Professional Doctorate candidates award of the degree of the relevant Masters;
- 5. No award and no re- examination. When this happens the examiners will prepare a statement of the deficiencies of the thesis and the reason for their recommendation.

The Postgraduate Research Degrees Team will provide details of any amendments required or other feedback to the candidates.

If candidates do not submit amendments and corrections by the deadline they will normally be deemed to have failed. Any appeal for additional time must be made must be made in writing to the University Research Board of Study via the Director of Postgraduate Research.

5.5 Re-examination

A student who initially fails to satisfy the examiners can revise and resubmit the thesis **only once**. The student must resubmit within one calendar year of the *viva voce*. The University Research Board of Study may exceptionally approve an extension of up to 12 months.

A student who has been asked to resubmit must re-enrol and pay the writing-up fee.

The University Research Board of Study may request two External Examiners are appointed for a re-examination.

There are three outcomes where re-examination may be required:

Original examination result		Re-examination requirement	
Thesis	Viva Voce		
V	x	Viva voce or approved alternative examination without thesis revision. The examiners may propose a different form of re- examination to test the student's abilities subject to approval of the Research Board of Study	
x	V	If the examiners state that the revised thesis is satisfactory, the Research Board of Study can exempt the student from a second <i>viva</i> voce	
Х	х	Re-examination of the thesis and a viva voce or approved alternative examination	

The re-examination process is identical to original examination. Possible recommendations are:

- 1. Award of the degree, no amendments;
- 2. Award of the degree subject to minor amendments being made to the thesis within three months;
- 3. No award and no re- examination. When this happens the examiners will prepare a statement of the deficiencies of the thesis and the reason for their recommendation. This will be sent to the student by the Postgraduate Research Degrees Team.
- 4. Award of the degree of MPhil, subject to the thesis being amended to the satisfaction of the examiners. This option applies to PhD candidates only.

6 Roles and responsibilities

Student and Supervisors must meet their responsibilities as detailed in our Supervision Handbook

6.1 Supervisor Team Structure

The Supervision team should include supervision experience, familiarity with the broad subject area and the research topic, and knowledge of the regulations. A student should have at least two, and normally not more than three, Supervisors.

The Director of Studies (First Supervisor) should have expertise in the proposed research topic and ideally a doctorate and peer reviewed publications. They must not be currently undertaking a doctoral qualification. Dual supervision can take different forms; for example, all Supervisors may have good topic knowledge and contribute equally, or alternatively the second Supervisor may have expertise in a particular methodology or be appointed on the basis of more extensive supervisory experience. The aim is to agree a team that can offer both the appropriate supervisory experience and the specialist research expertise to support the research student.

The team must normally have the following structure and experience. 'Normally' means that there may be exceptions which require the reasons to be submitted for approval by University Research Board of Study:

- Be made up of two or three Supervisors;
- Combined experience of supervising at least two students to successful completion.
 Completion of the online Epigeum training is counted as equivalent to a successful
 Supervision completion but only one online completion may be included within the required count for two team completions;
- One or more members with a doctoral qualification;
- Hourly Paid Lecturers (HPLs) may be part of the supervisory team but the team must not
 consist of all HPLs. The Director of Studies should not normally be an Hourly Paid Lecturer or
 Visiting Professor;
- Doctoral students who are also professional colleagues should not be supervised by their line manager;
- No Supervisor should have more than eight full-time equivalent or ten individual Postgraduate Research Students at any one time.

In addition a Mentor or Adviser may be part of the team, though this is not a formal requirement. They can support a less experienced team or to add external expertise to specific technical areas of the research project. The criteria for Supervisors do not apply to Mentors and Advisers. When the Director of Studies is acting in this role for the first time, the team must include a Mentor. A Mentor will be an experienced Supervisor with a minimum of four or more completions and two or more current students. An Adviser will have specific technical expertise and is likely to come from a collaborating organisation.

The initial team of Supervisors and Mentors and Advisers is formally approved when the Research Proposal Submission (form RES2) is signed off at School Panel Review, and the student's registration is confirmed.

Proposed changes of supervision team require completion of the Change of Supervision form (RES8) and approval by University Research Board of Study.

Supervisors must agree who attends each type of meeting and who the student should contact in relation to different types of query.

At least one meeting per month should include all members of the supervisory team, and good practice should include bi-weekly team meetings.

7 PhD by Published Work

The PhD by Published Work offers an alternative route to the award of a doctorate. It must still meet the standards for a conventional PhD. You can only apply if you have a significant connection to the University (see section 2.1 for definition). It consists of a portfolio of existing publications plus a 'prima facie' case of 6-10,000 words. Effectively this replaces the thesis element of the conventional doctorate route.

The 'case for support' is evaluated by an independent external assessor before enrolment/registration. The case for support should be 6,000-10,000 words and include:

- Abstract:
- Explanation of the context;
- Discussion of how the work provides an independent and original contribution to knowledge;
- Description of the themes that give the publications their coherence and the impact of the publications within the wider field of research;
- Evidence of appropriate research training and elements that constitute an independent and original contribution to knowledge;
- Explanation of how specific research has been adapted for publication e.g. through the editing out of experimental data;
- Assessment of the implications of any multi-authorship;
- Reference section listing additional publications not presented as part of the submission.

Work submitted should normally consist of one or more of:

- Research reports;
- Other media formats approved by the study board together with the necessary written work;
- Research-based completed book;
- Series of research-based articles on a coherent theme.

Publications should be submitted in loose-leaf format secured in a hardback folder.

Publications should not have been submitted for any previous award. The number of publications required varies between research areas. The important issue is the quality of the research and their equivalence to the standard for a conventional doctorate. The examiners need to be convinced that the publications represent an original contribution to the field at the required level and incorporate an appropriate methodology.

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The primary or lead author must be identified on all publications. Where you are submitting an application including multi-authored work, you must provide evidence of your individual contribution to each phase of the work. You need to show that co-authors are aware that publications are to be used to support an application to register for a higher Doctorate, and that they support your description of your role in the collaborative research. We may contact co-authors to confirm this before approving registration, and will give the examiners the information. You must provide up-to-date contact addresses for all co-authors.

A Director of Studies (First Supervisor) will be appointed to support your application from the 'prima facie' case onwards. They will:

- Decide whether you meet the requirements for entry;
- Help you with application and registration;
- Give guidance on the selection, coherence and quality of the publications proposed for submission;
- Advise on the preparation of the 'case for support';
- Help you prepare for the viva voce;
- Propose examiners and make arrangements for the oral examination.

7.1 Process

The examination of PhD by Published Work consists of an independent report by the examiners and a *viva voce*, as for a conventional PhD student.

The submitted work is assessed by two external examiners, not normally the assessors of the 'case for support', and one Independent Chair. The examiners will ensure that the criteria for the award are met and will review:

- Coherence between the publications;
- · Quality of the publications;
- Assess the contribution to knowledge :
- Evaluate the methodologies by which the research was conducted;
- The state of knowledge at the time the publications first appeared.
- Assess the contribution to the research reported in multi-authored work

The examiners may recommend:

- Award of PhD;
- 2. Award of PhD subject to minor amendments;
- 3. No award.

Where the examiners recommend no award, candidates may not re- submit for a PhD by Published Work within three years from the date of the examination. Any later submission must include evidence of additional work

After the award you should give the Postgraduate Research Degrees Team an electronic PDF copy on a non-returnable data stick of: the case, abstract, title page, contents page, list of all the publications including ISBN numbers and full journal referencing. Due to copyright the publications cannot be sent to the British Library and should not be included. Your certificate will then be released provided no money is owing to the University.

8 Higher Doctorates

The Higher Doctorate offers an alternative route to the award of a doctorate through submission of a varied portfolio of research. It must still meet the standards for a PhD. You can only apply if you have a significant connection to the University (see section 2.1 for definition).

Work submitted for a Higher Doctorate must:

- Demonstrate a coherent theme. The body of work must establish that the applicant is a leading authority in the field or fields of study concerned;
- Be an original and significant contribution to the advancement of knowledge or to the application of knowledge.

Applications may be made for higher doctorates as shown in the published list of awards www.lsbu.ac.uk/ data/assets/pdf file/ooo4/96259/list-of-awards.pdf

The submission may include:

- Books
- Contributions to journals
- Patent specifications
- Reports
- Specifications and design studies
- Other relevant evidence of original work.

All material except books must be secured in a hard-backed folder(s) with title and contents. The submission must be in English. The publications should not have been submitted for any previous award.

The number of publications needed varies between research areas. The important issue is the quality of the research and equivalence to a standard of higher doctorate. The examiners need to be convinced that the publications demonstrate an original contribution to the field at the required level and embody an appropriate methodology.

The primary or lead author must be identified. Where you are submitting an application including multi-authored work, you must provide evidence of your individual contribution to each phase of the work. You need to show that co-authors are aware that publications are to be used to support an application to register for a higher Doctorate, and that they support your

description of your role in the collaborative research. The University may contact co-authors to confirm this before approving registration, and will give the examiners the information. You must provide up-to-date contact addresses for all co-authors.

8.1 Process

You should complete your application and enrolment at the same time as developing the 'prima facie' case. You must be formally registered for at least one calendar year before submission of the work for examination.

The University will identify a leading academic in the field to act as Adviser. They will be a senior member of academic staff of the University, normally with experience of supervising a minimum of two PhD students to successful completion. The Adviser will support the student to develop the *prima facie* case for the examination.

The submitted work will be assessed by two external examiners, not normally the assessors of the *prima facie* case, and one internal chair. The examiners will ensure that the criteria for the award are met and will review:

- Establish coherence between the work;
- Evaluate the quality of the cited work;
- Assess the contribution to knowledge contained within these outputs;
- Evaluate the methodologies by which the research was conducted;
- Be aware of the state of knowledge and the state of supporting facilities at the time that the publications first appeared;
- Assess the student's contribution to the research reported in multi-authored work.

The examiners will provide a written report and recommendation with one of the following outcomes:

- 1. Award of Higher Doctorate
- 2. Award of Higher Doctorate subject to minor amendments
- 3. No award

Where the examiners recommend that the degree be not awarded, the student may not submit for a Higher Doctorate within a period of three years from the date of the original examination. Any further submission must include evidence of additional work.

After the award you should give the Postgraduate Research Degrees Team an electronic PDF copy on a non-returnable data stick of: the case, abstract, title page, contents page, list of all the publications including ISBN numbers and full journal referencing. Due to copyright the publications cannot be sent to the British Library and should not be included. Your certificate will then be released provided no money is owed to the University.

9 Appeals and complaints

Research Degree programmes use the University's standard appeals procedure for appeals against examination results. There is no appeal against academic judgment.

www.lsbu.ac.uk/__data/assets/pdf_file/ooo3/86007/appeals-procedure.pdf

The University's standard procedures apply for all complaints where you have been unable to achieve initial resolution through discussion is available at

www.lsbu.ac.uk/__data/assets/pdf_file/ooo3/84423/student-complaints-procedure.pdf

For issues regarding sexual harassment involving a member of the supervisory team you may immediately register a complaint at Stage 2. This means you do not need to go through the Stage 1 informal resolution process and you will immediately trigger a Stage 2 formal investigation by the University. You should consider making a confidential appointment with the University's Student Services for additional support.

