

## Research Degree Regulations 2017-18

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## ABBREVIATIONS

CSRD	Capacity Strengthening Research Degree
DrPH	Doctor of Public Health
ESRC	Economic & Social Research Council
LSHTM	London School of Hygiene & Tropical Medicine
MPhil	Master of Philosophy
PhD	Doctor of Philosophy

**Links to all policies and procedures mentioned in these regulations can be found on the School website here: <https://www.lshtm.ac.uk/aboutus/organisation/regulatory-documents>**

## 1. AWARD FRAMEWORK

- 1.1 The table overleaf summarises the research degree awards examined by the London School of Hygiene & Tropical Medicine (LSHTM); the minimum, normal and maximum periods of registration, and the length of the written thesis.
- 1.2 Exceptionally, and where there is evidence that a candidate is progressing ahead of schedule, Senate Research Degrees Committee may approve a shorter registration period.
- 1.3 Where a candidate is permitted to change his/her mode of study from full-time to part-time or vice versa, his/her minimum and maximum registration periods will be calculated pro rata taking into account the time already spent on study in a different mode. Changes to the mode of study cannot be approved in retrospect.
- 1.4 Application for exemption from part of the programme of study may be considered by use of the Recognition of Prior Learning Policy if the programme of study to be followed at LSHTM is of a minimum of one calendar year.
- 1.5 The maximum period of registration encompasses the date of first registration through to first submission of the thesis. After the prescribed time-period, the student will be de-registered unless an extension has been granted (see [Research Degrees Extensions Policy](#)).
- 1.6 After examination of the thesis, if amendments are required, the maximum period permitted for resubmission will be set. After the prescribed time-period, the student will be de-registered unless an extension has been granted (see [Research Degrees Extensions Policy](#)).

Research Degree	Abbrev.	Minimum registration period	Normal registration period	Maximum registration period <sup>(a)</sup>	Maximum word length of thesis <sup>(b)</sup>
Doctor of Philosophy (via transfer from Master of Philosophy, including the period of MPhil registration)	PhD	24 months <sup>(c)</sup> full-time 36 months part-time	36 months full-time 54 months part-time	48 months full-time 72 months part-time	100,000
Doctor of Philosophy (ESRC '+4' special scheme) and concurrent Postgraduate Diploma	PhD, PGDip	36 months full-time 54 months part-time	48 months full-time 72 months part-time	48 months full-time 72 months part-time	100,000
Doctor of Philosophy by Published Work	PhD	6 months part-time	12 months part-time	18 months part-time	15,000 for analytic doctoral commentary, plus published works & accompanying documents.
Professional Doctorate: Doctor of Public Health	DrPH	36 months full-time 48 months part-time	Not specified	48 months full-time 72 months part-time	50,000
Master of Philosophy	MPhil	24 months full-time 36 months part-time	24 months full-time 36 months part-time	48 months full-time 72 months part-time	60,000
<p>(a) Students who first registered for their current research degree before the commencement of the 2012-13 academic year will not be subject to the maximum period of registration.</p> <p>(b) The reference list is excluded from the word count; footnotes are included in the word count; appendices are excluded from the word count and should only include material, which the examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.</p> <p>(c) Conversion: 2 years = 24 months; 3 years = 36 months; 4 years = 48 months; 5 years = 60 months; 6 years = 72 months</p>					

## 2. ENTRANCE REQUIREMENTS

2.1 The normal minimum entrance qualification for registration is:

- (a) An Upper Second-Class Honours degree of a UK university, or an overseas qualification of an equivalent standard, in a subject appropriate to that of the programme of study to be followed; or

- (b) A registrable qualification appropriate to the programme of study to be followed, in medicine, dentistry or veterinary studies; or
- (c) A Master's degree in a subject appropriate to the programme of study to be followed; or
- (d) A professional qualification obtained by written examination and approved by the University of London as an appropriate entrance qualification for the degree in question.
- (e) For DrPH candidates a minimum of two years' appropriate experience and, normally, a Master's degree are required.

2.2 In some instances, candidates may be required to register for a related Master of Science (MSc) programme at LSHTM before being allowed to register for a research degree. In such cases, registration for the research degree will be dependent upon a satisfactory level of achievement in the MSc programme, usually well above the minimum required to pass the MSc.

2.3 In some areas of clinical research, General Medical Council registration and medical defence cover may also be required.

2.4 Candidates will be required to obtain an acceptable score in an English language test approved by LSHTM if:

- Their first language is not English
- Their previous studies at university have not been conducted wholly in the medium of English, or
- The Programme Director, Departmental Research Degree Coordinator or Faculty Research Degree Director requires a test to be taken.

2.5 A candidate for registration must provide original documentary evidence of their qualifications. A candidate will be registered in the names as they appear on the documentary evidence of their qualifications. However, if the names shown on the documentary evidence of qualifications are in an abbreviated form or incomplete form or if the names have subsequently been changed, in order to establish their identity, the applicant must produce for inspection one of the following documents: passport, birth certificate, marriage certificate, certificate from the awarding body, statutory declaration or a deed poll and, provided that the document produced establishes beyond doubt that the names refer to the person named on the documentary evidence of qualifications and that the person is the candidate, the candidate will be registered in the names shown on the document produced in order to establish identity. Subsequent to registration, a change of name will only be made after inspection of a marriage certificate, statutory declaration or deed poll.

2.6 Any exemption from the minimum entrance requirement stated in 2.1(a) must be agreed by the relevant Faculty Research Degree Director and the Pro-Director (Learning, Teaching and Enhancement) or their nominee.

### **3. REGISTRATION FOR RESEARCH DEGREES**

#### **3.1 Registration and Re-registration: All Research Degrees**

- 3.1.1 LSHTM may register students to undertake research degrees in fields of study (topic and methodology) for which an appropriate supervision team can be appointed. Change is permitted to the student's intended field of study only if it is still possible for LSHTM to appoint an appropriate supervision team. (See [Composition of Research Degree Supervision Teams Policy](#))
- 3.1.2 Applications for study must be made before the first day of the programme. Backdated registration for a programme of study will not be permitted.
- 3.1.3 Initial registration is subject to acceptance of the set of academic regulations in force at the time.
- 3.1.4 Initial registration for a research degree will be at one of the advertised initial registration points:
- MPhil & PhD degrees: at the beginning of the autumn, spring or summer term.
  - DrPH: at the beginning of the autumn term.
- 3.1.5 All continuing students must re-register at the beginning of each autumn term. Permission to re-register will be granted unless circumstances warranting termination of registration apply (see Section 3.4).
- 3.1.6 New and continuing students will register with the set of regulations approved and in place for the academic at the time of their registration. They will be informed of the regulations and any changes that have been approved. Their completed registration will confirm their agreement with the regulations as part of the terms and conditions of their offer to study at LSHTM on their chosen programme of study.

#### **3.2 MPhil and PhD Degrees**

- 3.2.1 Candidates for the PhD will initially register for the degree of MPhil, unless regulation 1.4 (transfer from another university PhD registration) or regulation 3.3.4 (PhD by Published Work) applies.

#### **3.2.2 Transfer of Registration to MPhil and PhD Degrees**

See also subsequent sections relating to special schemes (section 3.3) and to the Doctor of Public Health degree (Section 4.2)

- 3.2.2.1 Transfer from a Postgraduate Taught degree to the MPhil degree, or from the MPhil degree to the PhD degree will be permitted only if the transfer occurs before entry to the examination for either of these degrees is made. Registration

for the degree to which transfer has been made may date from initial registration for the degree from which the transfer has been made.

- 3.2.2.2 Transfer from MPhil to PhD will be permitted only after the research study has been assessed to be of PhD standard and the candidate has been assessed as developing satisfactorily towards PhD standard in the context of the time remaining until the maximum period of registration. Transfer from MPhil to PhD registration will be provisional until ethical approval for the doctoral study, if required, is confirmed.
- 3.2.2.3 Students who have not successfully completed all requirements for upgrade from MPhil to PhD registration within 18 months of full-time registration (or 27 months of part-time registration) will not be permitted further attempts at this assessment, unless an appeal is upheld (see [Academic Appeals Policy](#)).
- 3.2.2.4 On transfer of registration, the registration for the original degree will lapse.

### **3.3 Special Schemes**

- 3.3.1 Except in so far as the following paragraphs make special provision for a student registered under a special scheme, the student will be required to comply with the Regulations for the Degrees of MPhil, PhD and DrPH so far as these are relevant.

#### **3.3.2 Registration as internal students under the Public Research Institutions (PRI) and Industrial Research Laboratories (IRL) Schemes**

- 3.3.2.1 A person engaged in research in a government or other public research institution or in an industrial research laboratory, shall be eligible to apply for part-time registration as an Internal Student at LSHTM for the degree of MPhil, PhD or DrPH. If accepted, they will carry out the major part or whole of their research for the degree at the research centre concerned, subject to the special provisions in paragraphs (3.3.2.2) – (3.3.2.8) below.
- 3.3.2.2 LSHTM may accept as an internal student a person engaged in research in a government or other public research institution or in an industrial research laboratory, which is on the [list of institutions](#) and laboratories drawn up by the Research Degrees Committee.
- 3.3.2.3 Application may be made to LSHTM for consideration by the Research Degrees Committee for the registration of a person engaged in research in a government or other public research institution or in an industrial research laboratory, which is not on the list of approved institutions.
- 3.3.2.4 The research shall be carried out under the primary supervision of an External Supervisor at the institution or laboratory at which the student is based with a LSHTM Supervisor being appointed who will maintain close contact with the External Supervisor concerning the general strategy of the research.

- 3.3.2.5 In order that the student may acquire background knowledge relevant to their research, the programme of study should include elements requiring formal participation by the student such as attendance at lectures, tutorials, seminars and appropriate consultation with the LSHTM Supervisor. It is expected that this will normally require attendance at LSHTM in London for a minimum period of forty days per year.
- 3.3.2.6 The acquisition of further background knowledge may also be acquired by other means such as submission of critical essays, directed reading or attendance at lectures or meetings held outside LSHTM.
- 3.3.2.7 The application for registration as an Internal Student must have the support of the authorities of the institution or laboratory at which the research is conducted, who shall confirm that:
- (a) The student will be able to attend LSHTM for the prescribed programme of study.
  - (b) No restriction will be placed upon presentation for examination of the thesis.
  - (c) A successful thesis shall be made available in accordance with Section 7 of the Regulations for the degrees of MPhil, PhD and DrPH.
  - (d) An External Supervisor from the institution or laboratory will be appointed to supervise, jointly with the LSHTM Supervisor, the research study and other elements of the prescribed programme of study.
- 3.3.2.8 Where a student ceases to work at the centre for which their registration has been approved, their registration as an Internal Student for the degree shall cease at the same time. Where the new place of employment satisfies the requirements for registration under these regulations, the student may apply to LSHTM for transfer of registration.

### **3.3.3 Registration as a student under the Capacity Strengthening Research Degree (CSRD) scholarship programme**

- 3.3.3.1 A person engaged in research through a [Capacity Strengthening Research Degree \(CSRD\) Site](#) shall be eligible to apply for registration as an Internal Student at LSHTM for the part-time degree of MPhil, PhD or DrPH and, if accepted, carry out the major part or whole of their research for the degree at the CSRD site.
- 3.3.3.2 LSHTM will maintain a list of approved CSRD sites, criteria for inclusion on this list and set a limit for the total number of students registered under this special scheme.
- 3.3.3.3 To be accepted a student under the CSRD scheme, students must be linked to a research project in which LSHTM is a collaborator (i.e. where the funding



either flows via LSHTM or LSHTM is a partner on the grant held at the institution).

- 3.3.3.4 Applications must be endorsed by the Principal Investigator of the grant and/or the Head of the CSRD site by provision of a statement detailing how this research degree registration would contribute strategically and to capacity building of the institution.
- 3.3.3.5 One of the two referees should be a LSHTM staff member with sufficient knowledge of the applicant and the research project(s) on which the applicant is employed. The second referee should be from another institution, and familiar with the applicant's current work, or who has interacted with the applicant in a research or professional capacity in the preceding five years.
- 3.3.3.6 In deciding whether to accept an applicant, departments will consider how well the project is defined and funded and will need assurance that the project has ethical approval. Candidates should usually develop their thesis within an existing project, often with preliminary fieldwork or data collection having been undertaken prior to registration. Applications should address what the student's original contribution to this area of research will be.
- 3.3.3.7 The minimum period that must be spent at LSHTM in London is nine months.
- 3.3.3.8 Written confirmation must be obtained prior to registration that funding is available to cover the costs of travel and subsistence for the time required in London (see previous regulation).
- 3.3.3.9 The research shall be carried out under the primary supervision of a CSRD site-based supervisor at the collaborative institution at which the student is based, with a London-based supervisor being appointed who will maintain close contact with the CSRD site-based supervisor concerning the general strategy of the research. In order that the student may acquire background knowledge relevant to their research, the programme of study should include elements requiring formal participation by the student such as attendance at lectures, tutorials, seminars and appropriate consultation with the London-based supervisor.
- 3.3.3.10 In instances where the London-based supervisor is a frequent visitor to the CSRD site they could serve as the primary supervisor if this was more appropriate than the CSRD site-based supervisor.
- 3.3.3.11 The application for registration as an Internal Student must have the support of the authorities of the institution or laboratory at which the research is conducted, who shall confirm that:
  - The student will be able to attend LSHTM for the prescribed programme of study.
  - No restriction will be placed upon presentation for examination of the thesis.

- A successful thesis shall be made available in accordance with Section 7 of the Regulations for the degrees of MPhil, PhD and DrPH.
- A CSRD site-based supervisor from the CSRD site will be appointed to supervise the research jointly with the internal Supervisor to supervise the prescribed programme of study.

3.3.3.12 The London-based supervisor will be required to submit, to the LSHTM Registry, at the time of entry to the examination a brief statement of the components of the programme of study.

3.3.3.13 Where a student ceases to work at the CSRD site for which their registration has been approved, they shall opt to:

- Transfer their registration to an alternative CSRD site that satisfies the requirements for registration under these regulations.
- Transfer to registration as an internal on-site student; or withdraw their registration as a student.

3.3.3.14 The student must fulfil the same requirements for research and transferable skills training as other LSHTM research degree students. Timing of visits should coincide with the availability of such training. Equivalent training may be carried out locally if approved by the Pro-Director (Learning, Teaching & Enhancement).

### **3.3.4 Registration under the ESRC ‘+’ scheme (concurrent PhD and PGDip)**

3.3.4.1 The structure of this programme can be found in the Programme Specification.

### **3.3.5 Registration for the PhD by published work (part-time PhD only)**

3.3.5.1 Applicants must meet all of the following criteria:

- (a) Members of staff of the School, at the level of Assistant Professor or above, and having successfully completed any probation requirements.
- (b) Established researchers with a series of significant research publications, whether developed through employment at the School or elsewhere.
- (c) Graduates of a UK university, or holders of an equivalent qualification.

3.3.5.2 A *prima facie* case for registration must be established. The applicant will submit a prescribed set of documents (see Programme Specification). A panel will be established to review the application and make an academic judgement of the materials submitted by the applicant in respect of the *prima facie* case for developing a PhD by Published Works portfolio within the permitted period of registration. If the Panel considers there is a *prima facie* case for admission to the PhD by Published Works route, the applicant may be admitted provided an appropriate supervision team can be identified. If the Panel considers that there

is not a *prima facie* case for admission, the applicant may submit an updated application only after a period of 24 months has elapsed.

### **3.3.6 Collaborative PhD programme with the School of Tropical Medicine & Global Health, University of Nagasaki**

3.3.6.1 The structure of this programme, which includes direct entry to PhD registration, can be found in the Programme Specification.

## **3.4 Interruption & Withdrawal of Registration**

3.4.1 A student may withdraw his/her research degree registration by following the guidance in the Interruption of Studies and Withdrawal Policy.

3.4.2 LSHTM may terminate a research degree registration, in accordance with the relevant policies and procedures (including the relevant appeal processes), in the following circumstances:

- Exceeding the Maximum period of Registration or the post-examination period permitted for amendments (See Section 1 above).
- Misconduct (Academic or Non-academic)
- Failure to re-register at the beginning of an academic year
- Failure to meet attendance requirements
- Inadequate academic progress
- Non-payment of tuition fees

## **4. ATTENDANCE & PROGRAMME OF STUDY**

### **4.1 General**

4.1.1 Every candidate is required to pursue a prescribed programme of study at LSHTM (or elsewhere if approved under a Special Scheme, see 3.3 above), under the supervision of an approved supervision team.

4.1.2 The programme of study for the DrPH requires attendance at lectures; the programme of study for the MPhil or PhD may require attendance at lectures as prescribed by the academic department.

4.1.3 Students and Supervisors will abide by the Research Degrees Codes of Practice and the guidance offered in the Research Students' Handbook for the same academic year as the regulations under which they are registered.

4.1.4 A programme must be pursued continuously except by an approved Interruption of Studies.

- 4.1.5 A candidate is expected to centre their academic activities on LSHTM and to attend personally for their studies at such times as supervisors may require.
- 4.1.6 LSHTM may permit a candidate to spend part of their programme in off-campus study, called Research Study Leave, which shall include regular communication with their supervisor. Candidates must spend at least nine months of full-time study at LSHTM in London.
- 4.1.7 The registration of students, the nomination and appointment of supervisors and the monitoring of student progress, which involves off-campus study, shall be subject to the same arrangements as are made for students studying on-campus.
- 4.1.8 After completing an approved programme of study, candidates will normally be required to present themselves for examination within one calendar year. A candidate wishing to enter later than one calendar year must apply to LSHTM for special permission.
- 4.1.9 Before a candidate is admitted to the examination for the degree, LSHTM shall report to the University of London that they have completed a programme of study in accordance with the regulations.

## **4.2 DrPH Programme Elements**

- 4.2.1 The programme of study for the DrPH degree will consist of three elements (see Programme Specification). Each element must be passed.

# **5. RESEARCH INTEGRITY**

- 5.1 All research studies must be conducted with integrity, in line with the principles of the *Concordat to Support Research Integrity*. (Link: <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf>)
- 5.2 All students are required to submit any proposed research project(s) and significant amendments to the Research Governance and Integrity Office to confirm whether scrutiny by a LSHTM Research Ethics Committee is required. If such scrutiny is required, the student must submit a research ethics application and obtain Ethics Committee Approval before proceeding with data collection or data analysis.
- 5.3 Recommendation for Upgrade from MPhil to PhD registration, or Review Panel permission to continue with the DrPH research stages, will be provisional until any required ethical approval(s) are confirmed.

# **6. REQUIREMENTS OF A THESIS OR PORTFOLIO**

## **6.1 General Requirements for all Theses Submitted**

- 6.1.1 The greater proportion of the work submitted in a thesis or portfolio must have been done after the initial registration for a research degree, except in the following cases:

- A candidate accepted under paragraph 1.4 where there shall be allowance for the fact that the candidate commenced their registration at another institution in the UK.
- A candidate accepted to the PhD by Published Works (paragraph 3.3.6)

- 6.1.2 A candidate will not be permitted to submit as their thesis or portfolio one which has been submitted for a degree or comparable award of this or any other university or institution. A candidate shall not be precluded from incorporating into a thesis or portfolio, background material covering a wider field of work which they have already submitted for a degree or comparable award of this or any other university or institution, provided that they indicate on their entry form and also on their thesis or portfolio any work which has been incorporated.
- 6.1.3 A candidate may submit the results of work done in conjunction with their supervisor and/or with fellow research workers if the candidate states clearly their own personal share in the investigation and that the statement is certified by a member of the supervision team.
- 6.1.4. A candidate must have their title of thesis or portfolio approved by their First Supervisor.
- 6.1.5 The decision to submit a thesis or portfolio in any particular form rests with the candidate alone and the outcome of the examination is determined by two or more examiners acting jointly.
- 6.1.6 A thesis or portfolio must be presented for examination in a final form in digital format and in typescript or print in accordance with the guidance in the Research Degrees Handbook.
- 6.1.7 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the LSHTM Registry for lodging in the LSHTM Library, one copy of their thesis or portfolio, hardbound and a digital copy, in accordance with the Research Degrees Handbook guidance. Furthermore, a short abstract of their thesis or portfolio, of not more than 300 words, must be bound with each copy of the thesis/portfolio submitted to the Registry: a digital copy of the abstract must also be provided.

## **6.2 MPhil**

- 6.2.1 The scope of the thesis shall be what might reasonably be expected after two, or at most three years of full-time study.
- 6.2.2 The thesis shall meet the following criteria:
- (a) Consist of a candidate's own account of their investigations.
  - (b) Be a record of original work or an ordered and critical exposition of existing knowledge in any field. There should be evidence that the field has been surveyed thoroughly.
  - (c) Be an integrated whole and present a coherent argument.

*[Relevant work by the candidate prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the candidate and should include elements undertaken as part of the thesis research but which are not normally published (for example, description of lab-assay work-up, formative work to design data collection instruments). A general literature review and a concluding summary would normally be expected. Each element of work prepared for publication or already published which is included in the thesis must be accompanied by a statement, certified by the supervisor, to indicate the role of the candidate in the work and the contributions of others. Work for which there are multiple authors, including that for which the candidate is not first author, is permitted in specific circumstances but the candidate must state the aspects of the work for which they had lead responsibility].*

- (d) Give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings.
- (e) Be written in English with satisfactory literary presentation.
- (f) Include a full reference list.
- (g) demonstrate the candidate meets the threshold standards for the award of a master's degree in the UK (See Annex 1)

### **6.3 PhD**

6.3.1 The scope of the thesis shall be what might reasonably be expected after three years of full-time study.

6.3.2 The thesis shall meet the following criteria:

- (a) Consist of the candidate's own account of their investigations and indicate how they advance the study/knowledge of the subject.
- (b) Form a distinct contribution to the knowledge of the subject and afford evidence of originality shown by the discovery of new facts and/or the exercise of independent critical power.
- (c) Be an integrated whole and present a coherent argument.

*[Relevant work by the candidate prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the candidate and should include elements undertaken as part of the thesis research but which are not normally published (for example, description of lab-assay work-up, formative work to design data collection instruments). A general literature review and a concluding summary would normally be expected. Each element of work prepared for publication or already published which is included in the thesis must be accompanied by a statement, certified by the supervisor, to indicate the role of the candidate in the work and the contributions of others. Work for which there*

*are multiple authors, including that for which the candidate is not first author, is permitted in specific circumstances but the candidate must state the aspects of the work for which they had lead responsibility. Work published prior to registration may be included provided that a substantial majority of the work is done after registration for the research degree].*

- (d) Give a critical assessment of the relevant literature, describe the method of research and its findings, and include a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study/knowledge of the subject.
- (e) Be written in English with satisfactory literary presentation.
- (f) Include a full reference list.
- (g) Demonstrate the candidate meets the threshold standards for the award of a doctoral degree in the UK (See Annex 2).

## **6.4 DrPH**

6.4.1 DrPH candidates are expected to spend 18-21 months conducting and writing up the research thesis element. The scope of the thesis shall be what might reasonably be expected after eighteen months of full-time study.

6.4.2 The thesis shall meet the following criteria:

- (a) Consist of the candidate's own account of his/her investigations and must indicate in what respects they appear to him/her to advance the study of the subject.
- (b) Be written in English with satisfactory literary presentation.
- (c) Demonstrate the candidate meets the threshold standards for the award of a doctoral degree in the UK (See Annex 2)

*[Relevant work by the candidate prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the candidate and should include elements undertaken as part of the thesis research but which are not normally published (for example, description of lab-assay work-up, formative work to design data collection instruments). A general literature review and a concluding summary would normally be expected. Each element of work prepared for publication or already published which is included in the thesis must be accompanied by a statement, certified by the supervisor, to indicate the role of the candidate in the work and the contributions of others. Work for which there are multiple authors, including that for which the candidate is not first author, is permitted in specific circumstances but the candidate must state the aspects of the work for which they had lead responsibility. Work published prior to registration may be included provided that a substantial majority of the work is done after registration for the research degree].*

## 6.5 PhD by Published Work

6.5.1 Candidates will submit a portfolio of work and evidence that will comprise three parts:

- (a) An analytic doctoral commentary (maximum 15, 000 words, excluding words in the reference list) making an argument, which demonstrates the:
  - Doctoral contribution to knowledge made *by the candidate*
  - Coherence of the body of research illustrated through the selected published works
- (b) Selected published works, which:
  - Must be peer reviewed, published (or 'In Press' with proof), in English, in the public domain and traceable in bibliographic databases or public databases/catalogues.
  - The candidate must not have submitted, or subsequently submit, to fulfil part of the requirements for any other examined degree (i.e. excluding honorary degrees).
- (c) Proforma statements from principal authors and study Principal Investigators that confirm (or dispute) the candidate's stated contributions to the selected published works and the underlying research. If all reasonable efforts to elicit statements from a principal author or Principal Investigator that confirm (or dispute) the candidate's stated contributions to the selected published fail, statements from others able to confirm (or dispute) the candidate's contributions may be substituted.

6.5.2 Candidates will not be permitted to submit a portfolio for examination for the award of MPhil.

<h2>7. EXAMINATION ENTRY &amp; SUBMISSION OF THESIS/PORTFOLIO</h2>
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- 7.1 A candidate shall be examined in accordance with the regulations in force at the time of their entry or re-entry.
- 7.2 The entry form may not be submitted earlier than six months before the completion of the prescribed programme of study and should not be submitted later than **four months** before the submission of the thesis.
- 7.3 A candidate is required to submit with their examination entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.
- 7.4 The thesis may be submitted on or after the day following that in which the prescribed programme is completed.
- 7.5 A candidate for the DrPH will be expected to submit together with the thesis a statement of no more than 1,500 words summarising the areas which they have covered in the programme as a whole, and highlighting the links between each component.



- 7.6 If the candidate has not submitted their thesis for examination within 18 months from the submission of the form of entry for the examination, the entry will be cancelled unless for special reasons LSHTM requests otherwise.
- 7.7 A candidate will be required to submit two copies of their thesis either typewritten or printed and an identical digital copy, in accordance with instructions in the Research Degrees Handbook.

## **8. AVAILABILITY OF THESIS/PORTFOLIO**

- 8.1 It is a requirement that one printed copy of the successful thesis is placed in the LSHTM Library and the digital copy is deposited in the LSHTM research repository – LSHTM Research Online. The LSHTM copy shall be the archival copy and shall be in hardbound form.
- 8.2 Subject to paragraph 8.3 below, candidates for the MPhil, PhD and DrPH degrees will at the time of entry to the examination, be required to sign a declaration form authorising the reproduction of their thesis.
- 8.3 A candidate may apply to LSHTM for restriction of access, for a period not normally exceeding two years, to their thesis abstract or discrete sections of the thesis on the grounds of commercial exploitation or patenting or in other necessary circumstances and in accordance with the procedure adopted by LSHTM for consideration of such applications.

## **9. CONDUCT OF EXAMINATIONS**

### **9.1 General**

- 9.1.1 Examiners will be appointed by LSHTM for each candidate in accordance with the Research Degrees Code of Practice for the Degrees of MPhil, PhD and DrPH.
- 9.1.2 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until any restrictions on access to the thesis, which have been granted by LSHTM, are removed.
- 9.1.3 Prior to the oral examination, the examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination. Copies of the preliminary reports should be submitted to the LSHTM Registry prior to the oral examination. The preliminary reports will not normally be released to candidates but will be made available to the members of an appellate committee in the case of an appeal against the result of the examination for consideration at an appellate committee hearing. In such an event, the preliminary reports will also be provided to the candidate. After oral examination, a joint final report shall be prepared for submission to the LSHTM Registry. The joint final report will be released routinely to candidates for their personal information.

- 9.1.4 Candidates are required to present themselves for oral examinations at such place and times as LSHTM may direct and to bring with them to the oral examination an additional copy of their thesis, paginated in the same way as the copies submitted to the LSHTM Registry.
- 9.1.5 The joint final report of the examiners shall indicate whether the thesis meets the requirements specified in Section 5 of this document, as appropriate, and shall include a reasoned statement of the examiners' judgement of the candidate's performance.
- 9.1.6 Examiners have the right to make comments in confidence to LSHTM in a separate report. Such comments should not normally be concerned with the performance of the candidate but may cover, for example, general procedural or other matters, which they wish to draw to the attention of LSHTM.
- 9.1.7 One of the candidate's supervisors shall be invited, unless the candidate indicates otherwise on their entry form, to attend the oral examination as an observer. The supervisor does not have the right to participate in the examination of the candidate. An independent chair may be appointed by LSHTM. Otherwise, the oral examination shall be held in private.
- 9.1.8 The oral examination must normally be held in London. LSHTM may exceptionally agree that the examination be conducted elsewhere if there are circumstances that make this expedient.

## **9.2 Method of Examination for the PhD Degree**

- 9.2.1 A candidate for the PhD degree, must submit a thesis and be examined orally.

## **9.3 Conduct of the PhD Examination**

- 9.3.1 The examiners, after reading the thesis, shall examine the candidate orally on the subject of the thesis and, if they see fit, on subjects relevant thereto.
- 9.3.2 Except for the PhD by Published Works, there are six options open to examiners in determining the result of the examination as follows (see regulation 10.3.5 in respect of the PhD by Published Works and, for all PhD candidates regulation 12.3, which may require that the result of the examination be withheld):
- (a) If the thesis fulfils the criteria set out in 1.1 and 6.3.2 and the candidate satisfies the examiners in all other parts of the examination, the examiners will report that the candidate has satisfied them in the examination for the PhD degree.
  - (b) If the thesis otherwise fulfils the criteria but requires minor amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within 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.

- (c) If the thesis, though inadequate shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present their thesis in a revised form within 18 months. Examiners shall not make such a decision without submitting the candidate to an oral examination. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.
- (d) If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to submit to a further oral examination within a period specified by them and not exceeding 18 months.
- (e) if, after completion of the examination including the oral examination or re-examination for the PhD degree, the examiners determine that a candidate has not reached the standard required for the award of the degree nor for the re-presentation of the thesis in a revised form for that degree, they shall consider whether the thesis does or might be able to satisfy the criteria for the award of the MPhil degree. If they so decide, the examiners shall submit a report which demonstrates either (a) how the criteria for the MPhil degree are satisfied, or (b) what action would need to be taken in order for these criteria to be satisfied. In reporting, they shall have regard to the different normal maximum lengths of the thesis for the PhD and MPhil degrees but shall have discretion to waive the thesis length for the MPhil degree if appropriate. Thereafter the following conditions and procedures apply:
  - (i) The candidate will be informed that they have been unsuccessful at the examinations for the PhD degree, but that their examiners have indicated that they have reached a standard required for the award of the MPhil degree or with amendment to their thesis they may be able to satisfy the criteria for the degree, and that they may be considered for the award of the MPhil degree if the candidate indicates within two months that they wish to be so considered.
  - (ii) A candidate who indicates that they wish to be considered for the award of the MPhil degree under this Regulation will not be required to submit the thesis reformatted and shortened as may be required under the Regulations for the MPhil degree or to undergo an oral examination thereon, but will be required to fulfil the requirements for the MPhil examination in all other respects.
  - (iii) A candidate who applies for the award of the MPhil degree under these regulations must make any amendments that may be required by the examiners within a period specified by them, but not exceeding twelve months. If amendments are required the amended thesis shall be submitted to the examiners for determination as to whether the amendments have been completed to their satisfaction.
  - (iv) A candidate who has reached the standard for the award of the MPhil degree or with amendment to their thesis could reach the requisite standard who does not indicate that they wish to be considered for the award of that degree within the period given in paragraph (i) above will be informed that they have failed to satisfy the examiners for the PhD degree and that they may no

longer be considered for the award of the MPhil degree, and the examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

- 9.3.3 If the examiners are unable to reach agreement, their reports shall be referred to the Pro-Director (Learning, Teaching & Enhancement), who shall determine the action to be taken.
- 9.3.4 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination, but they may apply to register *de novo* for a further period of study leading to the submission of a thesis on a different topic.

### **9.3.5 PhD by Published Work**

- 9.3.5.1 The candidate and portfolio will be examined in the same way as a traditional PhD, including a *viva voce* examination.
- 9.3.5.2 The examiners will make academic judgements of the Portfolio (particularly the doctoral commentary) and oral examination about whether they are satisfied that the:
- Criteria for award of a doctorate have been met by the candidate.
  - Candidate has made a coherent contribution to a defined area of research, at least equivalent to a traditional PhD study, in terms of quality, criticality, originality, extent and level.
- 9.3.5.3 The outcome of examination will be one of the following:
- (i) Pass
  - (ii) Pass subject to minor amendments to the portfolio within three months
  - (iii) Not passed, the candidate is permitted to revise and resubmit the portfolio within six months, and to submit to a further oral examination
  - (iv) Not passed, the portfolio is satisfactory but the oral defence was not; the candidate is permitted to participate in one further *viva voce* examination within six months
  - (v) Fail
- 9.3.5.4 If the examiners are unable to reach agreement, their reports shall be referred to the Pro-Director (Learning, Teaching & Enhancement), who shall determine the action to be taken.
- 9.3.5.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination through the PhD by Published Works route.

## **9.4 Method of Examination for the MPhil Degree**

- 9.4.1 A candidate for the MPhil degree, must submit a thesis and be examined orally.

## **9.5 Conduct of the MPhil Examination**

- 9.5.1 Candidates are required to present themselves for oral examinations at such place and times as LSHTM may direct and to bring with them to the oral examination an additional copy of their thesis, paginated in the same way as the copies submitted to the LSHTM Registry.
- 9.5.2. The examiners, after reading the thesis, shall examine the candidate orally on the subject of the thesis and, if they see fit, on subjects relevant thereto.
- 9.5.3 There are five options open to examiners in determining the result of the examination as follows (see also regulation 12.3, which may require that the result of the examination be withheld):
- (a) If the thesis fulfils the criteria (see paragraphs 1.1 and 6.2) and the candidate satisfies the examiners in all other parts of the examination, the examiners will report that the candidate has satisfied them in the examination for the degree of MPhil.
  - (b) If the thesis otherwise fulfils the criteria but requires minor amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make within 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, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present their thesis in a revised form within 12 months. Examiners shall not make such a decision without submitting the candidate to oral examination. The examiners may at their discretion exempt from a further oral examination, on representation of their thesis, a candidate who under this Regulation has been permitted to re-present it in a revised form.
  - (d) If the thesis fulfils the criteria, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to submit to a further oral examination within a period specified by them and not exceeding 12 months.
  - (e) The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.
- 9.5.4 If the examiners are unable to reach agreement, their reports shall be referred to the Pro-Director (Learning, Teaching & Enhancement), who shall determine the action to be taken.

- 9.5.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination, but they may apply to register *de novo* for a further period of study leading to the submission of a thesis on a different topic.

## **9.6 Method of Examination for the DrPH Degree**

- 9.6.1 A candidate for the DrPH degree must:

- Satisfy the examiners with regard to taught modules.
- Submit an Organisational Policy analysis project report that satisfies the examiners, and submit a thesis and be examined orally.

- 9.6.2 The oral examination of the thesis cannot occur before the candidate has satisfied the examiners for the taught element and Organizational Policy Analysis element of the degree.

## **9.7 Conduct of the DrPH Examination**

- 9.7.1 The examiners, after reading the thesis, shall examine the candidate orally on the subject of the thesis and, if they see fit, on subjects relevant thereto.

- 9.7.2 Candidates are required to present themselves for oral examinations at such place and times as LSHTM may direct and to bring with them to the oral examination an additional copy of their thesis, paginated in the same way as the copies submitted to the LSHTM Registry.

- 9.7.3 There are five options open to examiners in determining the result of the examination as follows (see also regulation 12.3, which may require that the result of the examination be withheld):

- (a) If the thesis fulfils the criteria set out in 1.1 and 6.4.2 and the candidate satisfies the examiners in all other parts of the examination, the examiners will report that the candidate has satisfied them in the examination for the DrPH degree.
- (b) If the thesis otherwise fulfils the criteria but requires minor amendments and if the candidate satisfies the examiners in all other parts of the examination, the examiners may require the candidate to make, within 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.
- (c) If the thesis, though inadequate shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present their thesis in a revised form within 18 months. Examiners shall not make such a decision without submitting the candidate to an oral examination. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

- (d) If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to submit to a further oral examination within a period specified by them and not exceeding 18 months.
- (e) The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

9.7.4 If the examiners are unable to reach agreement, their reports shall be referred to the Pro-Director (Learning, Teaching & Enhancement), who shall determine the action to be taken.

9.7.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination, but they may apply to register *de novo* for a further period of study leading to the submission of a thesis on a different topic, the title of which has been approved.

## **10. NOTIFICATION OF EXAMINATION RESULTS**

10.1 After the examiners have reached a decision, every candidate shall be formally notified by the LSHTM Registry unless regulation 12.3 applies.

10.2 A degree certificate under the seal of the University shall be subsequently delivered to each candidate who has been awarded a degree.

10.3 The degree certificate will bear the names of the candidate in the form in which they appear in the records of LSHTM at the date of issue.

## **11. GENERAL**

11.1 Communications sent from LSHTM to an individual student must be regarded as applying to that student only.

11.2 The work submitted in the thesis by the candidate must be their own work and any quotation from the published or unpublished works of other persons must be duly acknowledged. Failure to observe this provision will constitute an examination offence and fall to be considered under the [Assessment Irregularity Policy](#). Allegations of plagiarism, fraud or ethical irregularity during a programme of study will be considered under this policy.

11.3 If a candidate has entered the examination for the MPhil, PhD or DrPH degree, but the authorities of LSHTM notify the Academic Registrar that the candidate has outstanding tuition fees, no report will be made on the result of the examination until payment has been made in full by the student or sponsor.

- 11.4 LSHTM has approved a Procedure for Consideration of [Academic Appeals](#) by Candidates for Research Degrees.
- 11.5 The Credit & Qualification Framework provides details of the credit contained within the award of a research degree.
- 11.6 In exceptional circumstances, it may be necessary for the School to suspend the regulations for one or more students. Requests for a suspension of the regulations must be made to the Academic Registrar, and approved by the Pro-Director (Learning and Teaching). Suspension of regulations are reported to the next Senate Research Degrees Committee and an annual analysis conducted to identify common issues that should be incorporated into the regulations.



## **ANNEX 1: THRESHOLD CRITERIA FOR THE AWARD OF A UK MASTER'S DEGREE**

Successful candidates must meet the threshold standards in full. The following paragraphs are extracted from page 28 of the [Frameworks for Higher Education Qualifications for UK Degree Awarding Bodies \(2014\)](#).

FHEQ Master's degrees are awarded to students who have demonstrated:

- A 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 their academic discipline, field of study or area of professional practice.
- A comprehensive understanding of techniques applicable to their own research or advanced scholarship.
- 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 enables the student:
  - to evaluate critically current research and advanced scholarship in the discipline
  - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

## **ANNEX 2: THRESHOLD CRITERIA FOR THE AWARD OF A DOCTORATE IN THE UK**

Successful PhD and DrPH candidates must meet the threshold standards in full. The following paragraphs are extracted from page 30 of the [Frameworks for Higher Education Qualifications for UK Degree Awarding Bodies \(2014\)](#).

Doctoral degrees are awarded to students who have demonstrated:

- The 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.
- A systematic acquisition and understanding of a substantial body of knowledge, which is at the forefront of an academic discipline or area of professional practice.
- The general 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 adjust the project design in the light of unforeseen problems.
- A detailed understanding of applicable techniques for research and advanced academic enquiry.