



LSHTM Academic Manual 2021-22

Chapter 9: Research Degree Academic Regulations

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These regulations are one of a set of documents that make up the RD framework at LSHTM and should be viewed alongside:

1. The Research Degree Code of Practice
2. The Research Degree Handbook
3. DrPH Marking Scheme
4. Research Degrees Extensions Policy and Procedure
5. Policy and Procedure for Progress Monitoring Research Degrees
6. Electronic Research Degree Thesis Submission Policy
7. Procedure for Appointing an Independent Chair for Research Degrees Oral Examinations
8. Viva by Video Conferencing Procedure

Annual Review of the Academic Manual

The LSHTM Academic Manual was introduced in 2019-20 bringing together all the academic regulations and procedures which constitute LSHTM's framework for quality and standards for credit-bearing taught provision, research degrees and special programmes. The Academic Manual consists of 11 Chapters all of which are reviewed annually and published as separate documents on LSHTM website together with a summary of amendments. With the exception of most minor editorial changes (e.g. typos, formatting and spelling or grammatical corrections), all revisions and amendments are noted and approved by Senate before the start of each academic year.

Abbreviations

DrPH	Doctor of Public Health
MPhil	Master of Philosophy
PhD	Doctor of Philosophy

9.1 Award Framework

- 9.1.1 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 or portfolio.
- 9.1.2 Chapter 2, Qualifications and Taught Credit Framework of the LSHTM Academic Manual provides details of the credit contained within the award of a research degree.
- 9.1.3 Exceptionally, and where there is evidence that a student is progressing ahead of schedule, the Senate Research Degrees Committee may approve a shorter registration period.
- 9.1.4 Where a student is permitted to change their mode of study from full-time to part-time or vice versa, their 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.
- 9.1.5 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.
- 9.1.6 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).

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9.1.7 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 ^(a)	Maximum word length of thesis (b)
Doctor of Philosophy (via transfer from Master of Philosophy, including the period of MPhil registration)	PhD	24 months full-time 36 months part-time	36 months full-time 72 months part-time	48 months full-time 96 months part-time	100,000
Doctor of Philosophy (Economic and Social Research Council [ESRC] '+4' special scheme) and concurrent Postgraduate Diploma	PhD	36 months full-time 54 months part-time	48 months full-time 96 months part-time	48 months full-time 96 months part-time	100,000
Doctor of Philosophy by Prior Publication	PhD	6 months part-time	12 months part-time	18 months part-time	100,000 words in total, including: 15,000 for analytic commentary; prior publications; and any accompanying documents
Professional Doctorate: Doctor of Public Health	DrPH	36 months full-time 48 months part-time	Not specified	48 months full-time 96 months part-time	15,000 (RSI) and 60,000 (RSII)

Research Degree	Abbrev.	Minimum registration period	Normal registration Period	Maximum registration period ^(a)	Maximum word length of thesis (b)
Master of Philosophy	MPhil	24 months fulltime 36 months part-time	24 months full-time 72 months part-time	48 months full-time 96 months part-time	60,000

- (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.
- (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.

9.2 Entrance Requirements

- 9.2.1 The normal minimum entrance qualification for registration can be found in in the [Postgraduate Research Degrees Admissions Policy](#).
- 9.2.2 In some instances, students 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.
- 9.2.3 In some areas of clinical research, General Medical Council registration and medical defence cover may also be required.
- 9.2.4 Students 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.

9.2.5 An applicant must provide original documentary evidence of their qualifications. A student 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 student, the student 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.

9.2.6 Any exemption from the minimum entrance requirement stated in the Postgraduate Research Degrees Admissions Policy must be agreed by the relevant Faculty Research Degree Director and the Head of the Doctoral College or their nominee.

9.3 Registration for Research Degrees

9.3.1 Registration and Re-registration: All Research Degrees

9.3.1.1 LSHTM may register students to undertake research degrees in fields of study (topic and methodology) for which an appropriate Supervisory 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 Supervisory Team.

9.3.1.2 Applications for study must be made by the deadline published on the website. Backdated registration for a programme of study will not be permitted.

9.3.1.3 New and continuing students will register with the set of regulations approved and in place for the academic year at the time of their (re-)registration unless they opt to remain on the regulations they have previously been registered on. 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. Note that any student who has previously requested to remain on an old set of regulations will remain registered against those regulations for the remainder of their studies, unless Registry is notified accordingly.

9.3.1.4 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.

9.3.1.5 All continuing students must re-register at the beginning of each autumn term. Permission to reregister will be granted unless circumstances warranting termination of registration apply ([see Section 9.3.4](#)).

9.3.2 MPhil and PhD Degrees

9.3.2.1 Students for the PhD will initially register for the degree of MPhil, unless regulation 1.5 (transfer from another university PhD registration) or regulation 3.3.5 (PhD by Prior Publication) applies, or they are part of the Joint PhD scheme with Nagasaki University.

9.3.2.2 Transfer of Registration to MPhil and PhD Degrees

See also subsequent sections relating to special schemes ([Section 9.3.3](#)) and to the Doctor of Public Health degree ([Section 9.4.2](#))

9.3.2.2.1 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 the initial registration for the degree from which the transfer has been made.

9.3.2.2.2 Transfer from MPhil to PhD, through a formal review process known as upgrading, will be permitted only after the research study has been assessed to be of PhD standard and the student has been assessed as developing satisfactorily towards PhD standard in the context of the time remaining until the maximum period of registration.

9.3.2.2.3 All students are entitled to two attempts at upgrading.

9.3.2.2.4 The first attempt to upgrade should be undertaken within the first 7 to 11 months of full-time study or the first 22 months of part-time study.

9.3.2.2.4 Students who have not successfully completed all requirements for upgrade from MPhil to PhD registration within 18 months of full-time registration (or 36 months of part-time registration) will not be permitted further attempts at upgrading, unless an extension has been granted or an appeal is upheld (see the [Research Degrees Extension Policy](#) and section 7.7 of [Chapter 7, *General Academic Regulations*](#) of the LSHTM Academic Manual).

9.3.2.2.5 On transfer of registration, the registration for the original degree will lapse.

9.3.3 Special Schemes

9.3.3.1 Except insofar 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 as applicable.

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

9.3.3.2.1 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 (9.3.3.2.2) – (9.3.3.2.8) below.

9.3.3.2.2 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 Senate Research Degrees Committee.

9.3.3.2.3 Application may be made to LSHTM for consideration by Senate 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.

9.3.3.2.4 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.

9.3.3.2.5 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 40 days per year.

9.3.3.2.6 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.

9.3.3.2.7 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 9.8 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.

9.3.3.2.8 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.

9.3.3.3 Registration as a student under the Capacity Strengthening Research Degree (CSR D) scholarship programme

9.3.3.3.1 A person engaged in research through a Capacity Strengthening Research Degree (CSR D) Institution shall be eligible to apply for registration as an internal student at LSHTM for the part-time degree of MPhil, PhD, DrPH and, if accepted, carry out the major part or whole of their research for the degree at the CSR D institution.

9.3.3.3.2 LSHTM will maintain a list of approved CSR D institutions, criteria for inclusion on this list and set a limit for the total number of students registered under this special scheme.

9.3.3.3.3 To be accepted a student under the CSR D 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).

9.3.3.3.4 Applications must be endorsed by the Principal Investigator of the grant and/or the Head of the CSR D institution by provision of a statement detailing how this research degree registration would contribute strategically and to capacity building of the institution.

9.3.3.3.5 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.

9.3.3.3.6 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. Students 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.

9.3.3.3.7 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.

9.3.3.3.8 The research shall be carried out under the primary supervision of a CSRD institution-based Supervisor at which the student is based, with a London-based Supervisor being appointed who will maintain close contact with the CSRD institution-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.

9.3.3.3.9 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 institution-based Supervisor.

9.3.3.3.10 The application for registration as an internal student must have the support of the authorities of the institution 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 9.8](#) of the Regulations for the degrees of MPhil, PhD and DrPH.
- A CSRD institution-based Supervisor from the CSRD institution will be appointed to supervise the research jointly with the internal Supervisor to supervise the prescribed programme of study.

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

- Transfer their registration to an alternative CSRD institution that satisfies the requirements for registration under these regulations.
- Transfer their registration to a standard LSHTM PhD student; or withdraw their registration entirely.

9.3.3.3.12 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 Head of the Doctoral College.

9.3.3.4 Registration under the Economic and Social Research Council (ESRC) '+4 scheme (concurrent PhD and PGDip)

9.3.3.4.1 The structure of this programme can be found in the [Programme Specification](#).

9.3.3.5 Registration for the PhD by Prior Publication (part-time only)

9.3.3.5.1 Applicants must meet all of the following criteria:

- (a) Be a member of staff at LSHTM
- (b) Have successfully completed any probation requirements
- (c) Be an established researcher with a series of significant research publications, whether developed through employment at LSHTM or elsewhere

9.3.3.5.2 Applicants must establish a case for registration by submitting 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 case for developing a PhD by Prior Publication portfolio within the permitted period of registration. The panel will include one of the three Faculty Research Degree Directors, the Head of Doctoral College and, if required, another academic member of staff with expertise in the student's field. The applicant will give a seminar, followed by a panel interview (analogous to an upgrading). If the Panel considers there

is a strong case for admission to the PhD by Prior Publication route, the applicant may be admitted provided an appropriate Supervisory Team can be identified. If the Panel considers that there is not a strong case for admission, the applicant may submit an updated application only after a period of 12 months has elapsed.

9.3.3.6 Collaborative PhD programme with the School of Tropical Medicine & Global Health, Nagasaki University

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

9.3.4 Interruption, Withdrawal & Termination of Registration

9.3.4.1 A student may interrupt or withdraw their research degree registration by following the procedure in section 7.5 of Chapter 7 of the LSHTM Academic Manual.

9.3.4.2 LSHTM may terminate a research degree registration, in accordance with the procedure outlined in section 7.6 of Chapter 7 of the LSHTM Academic Manual.

9.4 Attendance and Programme of Study

9.4.1 General

9.4.1.1 All students are 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 Supervisory Team.

9.4.1.2 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.

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

9.4.1.4 A programme must be pursued continuously except by an approved Interruption of Studies (please see [Chapter 7 of the LSHTM Academic Manual](#)).

9.4.1.5 The minimum period that must be spent at LSHTM in London is nine months unless registered under any Special Scheme ([see 3.3 above](#)). This is to enable students to benefit from LSHTM's academic environment and gain any training required for successful completion of their doctoral work. It is expected that the first 3 months after registration will be spent at LSHTM in London. Spending the first 3 months in London is also strongly recommended for part-time students. In some cases, notably for CSRD students and those based in MRC units in The Gambia and Uganda, a request can be made to reduce this minimum residency period if students and Supervisors can demonstrate that they will receive the necessary training and support, and/or if personal or financial circumstances make residency challenging. Such a request should be made by the student and their first Supervisor to the Faculty Research Degrees Director. All requests will be considered on a case by case basis. For students on the joint LSHTM-Nagasaki PhD scheme the minimum period in London is six months.

9.4.1.6 A student is expected to centre their academic activities on LSHTM and to attend personally for their studies at such times as Supervisors may require. For further information on attendance requirements for research degree students, please see the [Student Engagement Policy](#).

9.4.1.7 LSHTM may permit a student to spend part of their programme in off-campus study, called Research Study Leave, which shall include regular communication with their Supervisor.

9.4.1.8 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.

9.4.1.9 After completing an approved programme of study, students will normally be required to present themselves for examination within one calendar year.

9.4.2 DrPH Programme Elements

9.4.2.1 The programme of study for the DrPH degree consists of three elements: a taught component; Research Study I (organisational and/or policy analysis); Research Study II (Thesis) (see [Programme Specification](#)). Each element must be passed.

9.5 Research Integrity

- 9.5.1 All research studies must be conducted with integrity, in line with the principles of the [Good Research Practice Policy](#).
- 9.5.2 The work submitted in the thesis by the student 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 Irregularities Procedure in section 7.2 of [Chapter 7 of the LSHTM Academic Manual](#). Allegations of plagiarism, fraud or ethical irregularity during a programme of study will be considered under this procedure.
- 9.5.3 Students and Supervisors must adhere to the LSHTM [Intellectual Property Policy](#). They must ensure that they implement an adhere to this policy throughout their research and in any interactions, whether in person or through electronic media, with parties external to LSHTM.
- 9.5.4 All Supervisors and students are required to consult the guidance on [ethics approvals for research degrees](#). If students and Supervisors are unclear about what approvals are needed, they should consult the Research Governance and Integrity Office. If scrutiny from the LSHTM Research Ethics Committee is required, the student must submit a research ethics application and obtain Ethics Committee Approval before proceeding with data collection or data analysis. All students are responsible for applying for and obtaining ethical approval prior to recruiting participants and collecting data for their research.

9.6 Requirements of a Thesis or Portfolio

9.6.1 General Requirements for all Theses or Portfolios Submitted

9.6.1.1 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 student accepted under paragraph 9.1.5, where there shall be allowance for the fact that the student commenced their registration at another institution in the UK.
- A student accepted to the PhD by Prior Publication (paragraph 9.3.3.5)

9.6.1.2 A student 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 student 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.

9.6.1.3 A student may submit the results of work done in conjunction with their Supervisor and/or with fellow research workers if the student states clearly their own personal share in the investigation and that the statement is certified by a member of the Supervisory Team.

9.6.1.4 A student must have their title of thesis or portfolio approved by their First Supervisor.

9.6.1.5 The decision to submit a thesis or portfolio in any particular form rests with the student alone and the outcome of the examination is determined by two or more Examiners acting jointly.

9.6.1.6 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.

9.6.1.7 After the examination has been completed and before the degree is awarded, successful students are required to submit a digital copy of their thesis/portfolio to the LSHTM Registry, in accordance with guidance in the Research Degrees Handbook. A digital copy of the abstract must also be provided.

9.6.2 MPhil

9.6.2.1 The scope of the thesis shall be what might reasonably be expected after two, or at most three years of full-time study.

9.6.2.2 The thesis shall meet the following criteria:

- (a) Consist of a student'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 student prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the student 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 student in the work and the contributions of others. Work for which there are multiple authors, including that for which the student is not first author, is permitted in specific circumstances but the student 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 student meets the threshold standards for the award of a master's degree in the UK (See Frameworks for Higher Education Qualifications of UK Degree-awarding Bodies (FHEQ)).

9.6.3 PhD

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

9.6.3.2 The thesis shall meet the following criteria:

- (a) Consist of the student'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 student prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the student 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 student in the work and the contributions of others. Work for which there are multiple authors, including that for which the student is not first author, is permitted in specific circumstances but the student 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 student 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 student meets the threshold standards for the award of a doctoral degree in the UK (See Frameworks for Higher Education Qualifications of UK Degree-awarding Bodies (FHEQ)).

9.6.4 DrPH

9.6.4.1 DrPH students 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.

9.6.4.2 The thesis shall meet the following criteria:

- (a) Consist of the student's own account of their investigations and must indicate in what respects they appear to them to advance the study of the subject.
- (b) Be written in English with satisfactory literary presentation.
- (c) Demonstrate the student meets the threshold standards for the award of a doctoral degree in the UK (See Frameworks for Higher Education Qualifications of UK Degree-awarding Bodies (FHEQ)).

[Relevant work by the student prepared for publication or already published may be included together with linking material. Linking material must be solely the work of the student 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 student in the work and the contributions of others. Work for which there are multiple authors, including that for which the student is not first author, is permitted in specific circumstances but the student 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].

9.6.5 PhD by Prior Publication

9.6.5.1 A PhD by Prior Publication is a portfolio that should include three elements.

- (a) A 15,000 words (maximum) analytic commentary outlining:
 - the overarching objective(s) of the research presented in publications contained in the portfolio
 - a coherent argument linking these publications
 - the original contribution to knowledge that the publications have made in a defined area of research, with reference to existing literature
- (b) A minimum of four interconnected, peer-reviewed publications written in English. Papers should be in the public domain and traceable in bibliographic or other public databases. For multi-authored

publications, the student is expected to be the first author or to clearly define the importance of their academic contribution.

- (c) A statement describing the student's contribution to each publication and underlying research. This statement should be signed by the student and counter-signed by the lead co-author and/or Principal Investigator.

9.6.5.2 Students will not be permitted to submit Prior Publication for examination for the award of MPhil.

9.7 Examination Entry & Submission of Thesis/Portfolio

- 9.7.1 A student shall be examined in accordance with the regulations in force at the time of their entry or re-entry.
- 9.7.2 The examination 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/portfolio.
- 9.7.3 A student is required to submit a short description of the content of the thesis/portfolio with their examination entry form to assist in the appointment of suitable Examiners.
- 9.7.4 If the student has not submitted their thesis/portfolio for examination within 18 months of the submission of the examination entry form, the entry will be cancelled unless LSHTM requests otherwise.
- 9.7.5 A student will be required to submit two soft-bound copies of their thesis/portfolio and an identical digital copy for examination. The soft-bound copies must either be typewritten or printed, in accordance with instructions in the Research Degrees Handbook.

9.8 Availability of Thesis/Portfolio

- 9.8.1 It is a requirement that a digital copy of the successful thesis/portfolio is deposited in the LSHTM research repository – LSHTM Research Online.
- 9.8.2 Subject to paragraph 9.8.3 below, students for the MPhil, PhD and DrPH degrees will be required to sign a declaration form authorising the reproduction of their thesis at the time of entry to the examination.
- 9.8.3 A student may apply for restriction of access to their thesis/portfolio, abstract or discrete sections of the thesis/portfolio on the grounds of commercial exploitation or patenting or in other necessary circumstances for a period not normally exceeding two years. Applications for restriction should be made in accordance with the Electronic Doctoral Degree Thesis Submission Policy.

9.9 Conduct of Examinations

9.9.1 General

- 9.9.1.1 Examiners will be appointed by LSHTM for each student in accordance with the Research Degrees Code of Practice for the Degrees of MPhil, PhD and DrPH.
- 9.9.1.2 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 student's thesis until any restrictions on access to the thesis, which have been granted by LSHTM, are removed.
- 9.9.1.3 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 students but will be made available to the members of an appellate committee in the case of an appeal against the result of the examination. In such an event, the preliminary reports will also be provided to the student. 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 students for their personal information.

9.9.1.4 Students 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/portfolio, paginated in the same way as the copies submitted to the LSHTM Registry.

9.9.1.5 The joint final report of the Examiners shall indicate whether the thesis/portfolio meets the requirements specified in Section 9.6 of this document, as appropriate, and shall include a reasoned statement of the Examiners' judgement of the student's performance.

9.9.1.6 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 student but may cover, for example, general procedural or other matters, which they wish to draw to the attention of LSHTM.

9.9.1.7 One of the student's Supervisors shall be invited, unless the student 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 oral examination of the student. An Independent Chair may be appointed by LSHTM.

9.9.1.8 The oral examination is normally held in London. LSHTM may exceptionally agree that the examination be conducted elsewhere if there are circumstances that make this expedient. Vivas may be held by video-conferencing if the candidate and examiners agree. Vivas held by video-conference should follow the current guidelines for procedures. Both parties must have appropriate facilities to hold a private viva by video-conferencing (e.g. a private room and compatible video-conferencing software and equipment).

9.9.2 Method of Examination for the PhD Degree

9.9.2.1 A student for the PhD degree must submit a thesis and be examined orally.

9.9.3 Conduct of the PhD Examination

9.9.3.1 The Examiners, after reading the thesis, shall examine the student orally on the subject of the thesis and, if they see fit, on subjects relevant thereto.

9.9.3.2 There are seven options open to PhD Examiners in determining the result of the examination:

- (a) If the thesis fulfils the criteria set out in 1.1 and 6.3.2 and the student satisfies the Examiners in all other parts of the examination, the Examiners will report that the student 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 student satisfies the Examiners in all other parts of the examination, the Examiners may require the student 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 student be permitted to re-present their thesis in a revised form within 6 months. Examiners shall not make such a decision without submitting the student to an oral examination. The Examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form.
- (d) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the Examiners may determine that the student be permitted to re-present their thesis in a revised form within 18 months. Examiners shall not make such a decision without submitting the student to an oral examination. The Examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form.
- (e) If the thesis satisfies the criteria for the degree but the student fails to satisfy the Examiners at the oral examination, the Examiners may determine that the student be permitted to submit to a further oral examination within a period specified by them and not exceeding 18 months.
- (f) If, after completion of the examination including the oral examination or re-examination for the PhD degree, the Examiners determine that a student 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:

- (g) The student 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 student indicates within two months that they wish to be so considered.
 - i. A student 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, but will be required to fulfil the requirements for the MPhil examination in all other respects.
 - ii. A student 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.
 - iii. A student 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 student has not satisfied them in the examination. The Examiners shall not, save in very exceptional circumstances, make such a decision without submitting the student to an oral examination.

9.9.3.3 If the Examiners are unable to reach agreement, their reports shall be referred to the Head of Doctoral College, who shall determine the action to be taken.

9.9.3.4 A student who fails to satisfy the Examiners will not be permitted to re-enter for the examination, but they may submit an application for a new period of study leading to the submission of a thesis on a different topic.

9.9.3.5 Conduct of the examination for the PhD by Prior Publication

9.9.3.5.1 The student and portfolio will be examined in the same way as a traditional PhD, including a *viva voce* examination. The examiners should include an Independent Chair internal to LSHTM but external to the Supervisory Team, and two examiners independent from the student's Supervisor Team.

9.9.3.5.2 The Examiners will make academic judgements on the portfolio and oral examination about whether they are satisfied that:

- The student and their portfolio have met the criteria for award of a doctorate;
- The student and their portfolio have made a coherent contribution to a defined area of research equivalent to a traditional PhD study, in terms of quality, originality, and depth.

9.9.3.5.3 There are five options available to Examiners of the PhD by Prior Publication:

- i. Pass
- ii. Pass subject to minor amendments to the portfolio within three months
- iii. Not passed, the student 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 student is permitted to participate in one further *viva voce* examination within six months
- v. Fail

9.9.3.5.4 If the Examiners are unable to reach agreement, their reports shall be referred to the Head of Doctoral College, who shall determine the action to be taken.

9.9.3.5.5 A student who fails to satisfy the Examiners will not be permitted to re-enter for the examination through the PhD by Prior Publication route.

9.9.4 Method of Examination for the MPhil Degree

9.9.4.1 A student for the MPhil degree, must submit a thesis and be examined orally.

9.9.5 Conduct of the MPhil Examination

9.9.5.1 Students 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.

9.9.5.2 The Examiners, after reading the thesis, shall examine the student orally on the subject of the thesis and, if they see fit, on subjects relevant thereto.

9.9.5.3 There are five options open to Examiners in determining the result of the examination as follows:

- (a) If the thesis fulfils the criteria (see paragraphs 9.1.1 and 9.6.2) and the student satisfies the Examiners in all other parts of the examination, the Examiners will report that the student 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 student satisfies the Examiners in all other parts of the examination, the Examiners may require the student 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 student be permitted to re-present their thesis in a revised form within 12 months. Examiners shall not make such a decision without submitting the student to oral examination. The Examiners may at their discretion exempt from a further oral examination, on representation of their thesis, a student who under this Regulation has been permitted to re-present it in a revised form.
- (d) If the thesis fulfils the criteria, but the student fails to satisfy the Examiners at the oral examination, the Examiners may determine that the student 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 student has not satisfied them in the examination. The Examiners shall not, save in very exceptional circumstances, make such a decision without submitting the student to an oral examination.

9.9.5.4 If the Examiners are unable to reach agreement, their reports shall be referred to the Head of Doctoral College, who shall determine the action to be taken.

9.9.5.5 A student who fails to satisfy the Examiners will not be permitted to re-enter for the examination, but they may submit an application for a new period of study leading to the submission of a thesis on a different topic.

9.9.6 Method of Examination for the DrPH Degree

9.9.6.1 A student for the DrPH degree must:

- Satisfy the Board of Examiners with regard to the two taught modules.
- Submit the Research Study I report (normally up to 15,000 words), and Research Study II (normally up to 60,000) as a portfolio for an oral examination.

9.9.6.2 The oral examination of the portfolio cannot occur before the student has satisfied the Examiners for the taught element of the degree.

9.9.7 Conduct of the DrPH Examination

9.9.7.1 The Examiners, after reading the thesis, shall examine the student orally on the subject of the portfolio and, if they see fit, on subjects relevant thereto.

9.9.7.2 Students 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 portfolio, paginated in the same way as the copies submitted to the LSHTM Registry.

9.9.7.3 There are five options open to Examiners in determining the result of the examination as follows:

- (a) If the thesis fulfils the criteria set out in 1.1 and 6.4.2 and the student satisfies the Examiners in all other parts of the examination, the Examiners will report that the student 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 student satisfies the Examiners in all other parts of the examination, the Examiners may require the student 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 student be permitted to re-present their thesis in a revised form within 6 months. Examiners shall not make such a decision without submitting the student to an oral examination. The Examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form.
- (d) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the Examiners may determine that the student be permitted to re-present their thesis in a revised form within 18 months. Examiners shall not make such a decision without submitting the student to an oral examination. The Examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form.
- (e) If the thesis satisfies the criteria for the degree, but the student fails to satisfy the Examiners at the oral examination, the Examiners may determine that the student be permitted to submit to a further oral examination within a period specified by them and not exceeding 18 months.
- (f) The Examiners may determine that the student has not satisfied them in the examination. The Examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the student to an oral examination. Following resubmission, the Examiners may determine that the student has not satisfied them in the examination and will not be permitted to re-enter for the examination of the DrPH degree.

9.9.7.4 If the Examiners are unable to reach agreement, their reports shall be referred to the Head of Doctoral College, who shall determine the action to be taken.

9.9.7.5 A student who fails to satisfy the Examiners will not be permitted to re-enter for the examination, but they may submit an application for a new period of study leading to the submission of a thesis on a different topic.

9.10 Notification of Examination Result

9.10.1 After the Examiners have reached a decision, every student will be formally notified of their result by the LSHTM Registry, unless regulation 9.10.2 applies.

9.10.2 If a student has entered the examination for the MPhil, PhD or DrPH degree, but has outstanding tuition fees, no official report will be made on the result of the examination until payment has been made in full by the student or sponsor.

9.10.3 Subsequently, a degree certificate under the seal of the University of London will be issued to each student who has been awarded a degree.

9.10.4 The degree certificate will bear the formal names of the student in accordance with their official LSHTM record.

9.10.5 Academic Appeals against decisions of Examiners should be submitted in accordance with the Academic Appeals Procedure outlined in section 7.7 of Chapter 7 of the LSHTM Academic Manual.