Core Code of Practice for Postgraduate Research Degrees

Published by the Centre for Doctoral Studies

Academic Year 2017/18
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Sections</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Introduction</td>
</tr>
<tr>
<td>2</td>
<td>Purpose of the Core Code</td>
</tr>
<tr>
<td>3</td>
<td>Admission to a postgraduate research programme of study</td>
</tr>
<tr>
<td>4</td>
<td>Supervision</td>
</tr>
<tr>
<td>5</td>
<td>Research environment</td>
</tr>
<tr>
<td>6</td>
<td>Enrolment, registration and attendance</td>
</tr>
<tr>
<td>7</td>
<td>Induction, training and development</td>
</tr>
<tr>
<td>8</td>
<td>Working during a research degree</td>
</tr>
<tr>
<td>9</td>
<td>Monitoring and assessment of student progress</td>
</tr>
<tr>
<td>10</td>
<td>Submission of thesis</td>
</tr>
<tr>
<td>11</td>
<td>Changes to registration - Interruption, extensions and transfers</td>
</tr>
<tr>
<td>12</td>
<td>Sick leave arrangements for students on fully funded studentships</td>
</tr>
<tr>
<td>13</td>
<td>Arrangements for extensions to submission deadlines for Research Council Funded students</td>
</tr>
<tr>
<td>14</td>
<td>Feedback</td>
</tr>
<tr>
<td>15</td>
<td>Complaints and appeals</td>
</tr>
<tr>
<td>16</td>
<td>Suspension of regulations for research degree students</td>
</tr>
<tr>
<td>17</td>
<td>Joint PhD degrees</td>
</tr>
<tr>
<td>18</td>
<td>Split-site PhD degrees</td>
</tr>
</tbody>
</table>

## Appendices

Appendix 1 - Roles & Responsibilities:

- Section A: Responsibilities of Faculty/Department/Division and Faculty 21
- Postgraduate Research Student Committee
- Section B: Responsibilities of the Head of Department/Division 23
- Section C: Responsibilities of Faculty Vice-Deans for Doctoral Studies 24
- Section D: Responsibilities of Supervisors 26
- Section E: Responsibilities of the Student 30

All queries regarding this document should be directed to the Centre for Doctoral Studies: doctoralstudies@kcl.ac.uk
1. Introduction

1.1 This Core Code of Practice sets out the policy of King’s College London on good practice in all matters concerning postgraduate research students. A copy of the Core Code will be made available to all postgraduate research students and their supervisors on an annual basis.

The Core Code is compliant with the requirements of the Quality Assurance Agency UK Quality Code for Higher Education - Chapter B11: Research Degrees which was published in June 2012. It is reviewed annually by the College Postgraduate Research Student Subcommittee, on behalf of the College Education Committee.

1.2 This Core Code should be read in conjunction with the guidelines set out in the appropriate faculty and departmental handbooks, the relevant ‘Academic regulations, Regulations concerning students and General regulations’ of King’s College London, procedures for quality assurance of research degrees published under the authority of the Academic Board by the College; and programme specifications (for research degrees involving taught elements only).

1.3 Supervision of research students is influenced by many factors including the individuals involved, the type of work, the discipline, the size of the department and the environment in which students and supervisors work. Some variation across an institution as large and complex as the College is therefore inevitable. Faculty practice may, of course, strengthen and build upon the Core Code, but may otherwise deviate from it only to the extent compatible with the purpose set out below.

2. Purpose of the Core Code

2.1 The purpose of this Core Code is to provide a framework for the effective management and implementation of good practice in all matters relating to research students at King’s College London. It aims to ensure that all students are effectively supported and supervised so that: the full potential of their research may be achieved; their thesis is submitted within the target period of study, which is defined in the College academic regulations for the year in which the student commenced their studies; and they are developed as researchers.

2.2 The Core Code sets out the threshold expectations; faculty’s practice may supplement and build upon the Core Code and therefore the Core Code should be used in conjunction with faculty and department handbooks.

3. Admission to a postgraduate research programme of study

3.1 Faculties should ensure that their promotional material, whether web- or paper-based is clear, accurate and up-to-date, and of sufficient detail to inform student choice.

---

1 The term ‘postgraduate research student’ refers to students on any research-based programme within the College, including MPhil, MPhilStud, PhD, MD, MS, MD(Res) MDS and professional doctorates. References to individual programmes are made when a paragraph is relevant solely to that award.
2 An electronic copy of this document can be downloaded from the Centre for Doctoral Studies webpages.
3 QAA Quality Code, Part B.
4 The word ‘Department’ is used throughout the Core Code to refer to departments, divisions, research group or other units within a Faculty/School that are responsible for postgraduate research students.
5 Students registered for MPhil/PhD degree programmes are expected to submit their theses within three years (full-time) and within six years (part-time) of initial registration, unless specific exceptions apply. For further clarification for all research degrees and maximum periods of registration please refer to the Regulations for research degrees (DClinPsy, DHC, DMin, DrPS, EdD, MD(Res), MPhil, MPhilStud & PhD).
3.2 Faculties are responsible for ensuring that they have mechanisms in place to ensure that students are accepted onto postgraduate research programmes only when they have the ability to complete in the period of study prescribed by the College Regulations.

3.3 The normal minimum entry qualification is a 2i (upper second class undergraduate degree) and/or a higher degree in a relevant subject, or an equivalent overseas degree (see academic regulations for admission and registration). Particular care is needed in the admission of students with non-traditional qualifications.

3.4 Each candidate will be asked to provide names of at least two authoritative referees from whom satisfactory confidential reports must also be received before an offer is made. Referees will be directed to provide information relevant to the student’s academic record and potential to benefit from the proposed programme of study.

3.5 Following an initial screening, selection will normally be by interview either face-to-face or in the case of some international students by telephone or appropriate internet communication services. Interviews will normally be conducted by at least two appropriately prepared academic staff, including the potential principal supervisor, with a view to determining the applicant’s suitability (see College Governance Zone for Admissions Interview Policy). Particular attention will be paid to the experience, skills and academic record and potential of the candidate, and on the suitability of the proposed programme of study to the candidate’s needs and career objectives. Interviewers should also assure themselves that the candidate meets the relevant English language requirements (see College Governance Zone for Postgraduate Admissions Policy).

3.6 All applicants will be made aware that they will be expected to complete the programme within the period of study set out in the regulations. The requirements for successful annual progression and the procedures for monitoring of progress will be explained at interview.

3.7 An official offer in writing will only be made by Admissions with the express approval of the Head of Department or their delegate. In approving the issue of an offer, they must consider not only the issues referred to above but also the availability of suitable facilities and resources, including suitable financial support, to enable the student to complete their studies.

3.8 The Head of Department will ensure that all candidates have been fully and fairly considered consistent with the College Equality & Diversity Statement. The confidentiality of the admissions process will be respected. Special needs of individual students will be identified and dealt with effectively before an offer is approved. All College staff need to be proactive in dealing with any equality issue. Any such issue will not be considered as part of the academic assessment of the applicant for the programme.

3.9 Faculties and departments are responsible for providing suitable supervisory arrangements that should reflect the nature of the work concerned and the student’s needs (see section 4 below for further details).

3.10 The student’s topic for research will normally have been agreed prior to registration and no later than one month after registration or the completion of any required qualifying study and/or examination. The feasibility of the project will be assessed by the student’s supervisory panel to ensure that it is adequate. Faculties that provide four-year study programmes involving a first year of mini-projects (or similar training) may make special arrangements for project assignment.

---

*Further details can be found within the College Postgraduate Admissions Policy*
Arrangements for any qualifying study must be specified in the offer letter and agreed before the commencement of the course of study.

3.11 Students and supervisors are required to read and sign a student/supervisor agreement within the first three months of registration, the format of which may vary; please refer to the admitting faculty for relevant details.

4. Supervision

4.1 Each student will be allocated a principal (first) supervisor at the time of registration. The supervisor will be a member of staff of the College who has established research experience (see 9.2 of the *A4 Regulations for research degrees* for further details).

4.2 A second supervisor or advisory panel will be nominated at the same time to stand in the principal supervisor’s absence, and to assist in the monitoring of the student’s progress. A second supervisor need not necessarily be a specialist in the area of research under study, but should be of sufficient academic standing to contribute meaningfully to supervising the student’s research. It is important that the second supervisor should be able to act independently of the principal supervisor. The second supervisor may be external to King’s College London.

Principal supervisors should bear the main brunt of the supervisory workload and will have lead responsibility for the pastoral care of their students, but second supervisors should play a significant part in the student’s supervision. Second supervisors can assume a number of different roles, and it is therefore recommended that principal and second supervisors agree in outline the part each will play at the outset. Some roles for second supervisors that should be considered are:

(a) to stand in during the principal supervisor’s absence;
(b) to provide complementary expertise that is required for the project. In this case a second supervisor may have a more significant supervisory role;
(c) to provide a second opinion on the research topic;
(d) to provide additional pastoral support for the student, particularly if difficulties arise with the principal supervisor;
(e) to provide supervisory advice and/or mentoring support for first time principal supervisors;
(f) to obtain supervisory experience under the tutelage of a more experienced supervisor.

4.3 The Head of Department, or their delegate, is responsible for ensuring that staff who supervise students on research degrees are trained and informed about the processes of supervision and progression. It is College policy that all staff who supervise research degree students will have received supervisory training. In the case of newly appointed staff, the Head of Department will ensure they attend an approved course. Less experienced staff should be assigned an academic mentor to aid the supervisory process. All staff are encouraged to refresh and reflect on their practice by attending the continuing professional development (CPD) activities offered by the Centre for Doctoral Studies and experienced supervisors should attend a formal refresher session once every 5 years.

4.4 Supervisors should consult the College (and where appropriate their Faculty) *Handbook for Supervisors* for guidance on policy, regulation and good practice relating to the supervision of research students.

---

7 See Appendix 1 for details about alternative support available to research students who wish to raise issues with staff beyond their supervisory team.
8 Centre *for Doctoral Studies Key Documents*
In accordance with the policy approved at Academic Board on 18 June 2003, no member of staff may normally supervise more than eight research degree students at any one time as first supervisor. Cases for exemptions to this policy should be made to the Director of the Centre for Doctoral Studies.

Primary supervisors should hold regular formal supervision meetings with their students, on an individual basis, and keep a record of those meetings.

When a student’s principal supervisor is unable to perform the required supervisory duties for more than one month, they should inform the student and appropriate authority within the Faculty and make appropriate arrangements for cover. In the case of unplanned absence, for example due to illness, the Head of Department/Vice-Dean for Doctoral Studies should ensure that appropriate cover is provided.

Heads of Department/Vice-Deans for Doctoral Studies are responsible for making appropriate arrangements in the case of students changing or wishing to change, their supervisor, where it is deemed necessary.

Research opportunities should only be offered where students can be trained within an environment which is supportive of research. Such a research environment will include a critical mass of researchers and research students investigating related items and meetings (for example in research seminars) to discuss their research. In the case of experimentally and clinically based research, the research equipment and funding that are available should be sufficient to allow the student to complete the agreed programme of research; in all subjects students should have access to appropriate library and computing facilities, as well as workspace.

The formal offer letter to students should come from King’s Admissions and should include, as a minimum:

- the level of fees, including writing up fees and bench fees where applicable
- the name of the student’s principal supervisor
- the length of the programme including target submission and completion deadlines
- details of any funding awarded via the College
- enrolment and registration details.

The student should also receive at this stage information on how to apply for a place in College accommodation, if required, and should be provided with a copy of the King’s Core Code of Practice, or directed to the College website where it is published.

On enrolment, the following information should be made available to students:

- King’s Core Code of Practice if not already received
- Student Charter
- Student guide to the regulations
- College regulations

Notes on supervision for research students
Student Charter
• Faculty handbook (to include information on local procedures for the monitoring of progress)
• Documentation introducing the scope of integrated library, archive and IT services offered by both the IT and the Library Services
• Information on student representation arrangements
• Campus map/information about the site on which they are based
• Information on local and College-wide academic, counselling, advice, and welfare support facilities
• Health and safety information
• International Student Handbook (if appropriate and not already obtained)
• Information on Occupational Health (if appropriate).

Additionally, the issues surrounding plagiarism will be explained, and students will be required to sign a declaration of understanding before they commence their studies. A definition of plagiarism and further information on the procedures to follow in such situations can be found in the College’s Misconduct Regulations: Guidelines for Students within the Governance Zone.

6.3 Full-time students are expected to undertake a full working week on their research degree. For further information on working during a research degree programme please see section 8 below.

6.4 Agreement should be reached with part-time students at the start of their registration as to the proportion of time they will be spending on their research degree. It is expected that part time students will normally spend the equivalent of 16 hours per week on their research degree, and that any arrangement agreed will not compromise submission time within the prescribed period.

6.5 The following guidelines are designed to assist faculties when considering applications for part-time study at postgraduate research level, providing that an applicant has met all the requirements as set out by the College Regulations. Those meeting the following criteria may be considered for part-time study:

(a) Persons whose personal circumstances are considered by the College to prevent full-time study, examples of which includes:
   • Persons engaged in earning their own livelihood who provide evidence from their employer to that effect at registration
   • Persons who are registered as unemployed
   • Persons who are engaged in as a full-time carer for a spouse and/or family member
(b) Students registered as internal postgraduate students who are also employed as a member of staff of the College;
(c) Public Research Institute (PRI) students;
(d) Students who undertake short-term contracts / projects / internships where an interruption to studies is not fully necessary

6.6 A member of staff registered as a part-time student in receipt of funding where the expectation of the funding body is that the student follows a full-time timetable with regards to progress should be identified by the relevant Faculty at the start of registration. A specific programme of study should be drawn up and milestones amended accordingly.

6.7 To avoid multiple transfers from full to part-time and vice-versa, it is very important that students are registered on the correct mode of attendance at the start of their programme. This means that they should be registered on the mode of attendance that is appropriate to their circumstances rather than on what might be their preference.

---

11 King’s College London Student Union
12 Please note that members of staff will usually be registered as part-time students, See the Centre for Doctoral Studies Key Documents for guidance on the circumstances in which College staff may be registered as full-time students.
6.8 Students should agree their holiday periods, between a minimum of four weeks and up to a maximum of eight weeks per year inclusive of public holidays and college closure dates, with their supervisor. Excessive absences should be reported to the Faculty via normal progress report procedures. Please note that some restrictions may apply to students holding international visas to study in the UK. These students may be under obligation to report annual leave periods to the Visa Compliance team for monitoring purposes, as defined by Home Office Tier 4 immigration policy and internal College procedures which underpin Home Office requirements.

7. Induction, training and development

7.1 All research students must attend an Induction Course provided by the Centre for Doctoral Studies and department/division and/or faculty concerned. The induction courses should enable new students to begin productive work as soon as possible, and will also provide a formal setting to present to students the regulations concerning their studies. Induction courses will cover such topics as:

- Introduction to the College
- Introduction to the Centre for Doctoral Studies
- College and local regulations and procedures
- What to expect from a research degree
- The timeline of a research degree
- Information Technology skills
- Information Literacy skills, encompassing information retrieval, management and communication using IT and information resources
- Health & Safety and Risk Assessment
- Legal and ethical contexts of research and relevant regulations and policies
- Requirements and information relating to applications for ethical approval of research
- Policies and procedures relating to Intellectual Property Rights
- The challenges that will typically face research students during the course of their studies and where guidance may be sought in the event of difficulties
- Access to local and College-wide academic and welfare support facilities
- Opportunities for student representation
- An introduction to the personal, professional and career development programme available and how to identify appropriate courses
- Opportunities for meeting other research students and staff.

7.2 All students are required to satisfy the College's standards for proficiency in the English language. However, if after arrival it becomes evident that the student's English, despite meeting the College's minimum requirements, is not satisfactory, he or she may be required to undertake English language tuition and a timetable for this should be agreed between the student and supervisors.

7.3 It is recognised that the research project work itself constitutes the major training component of the study programme, but in line with Research Council requirements and QAA recommendations, students should also demonstrate that they are acquiring generic skills and skills in research methods. The College recommends that all research students should undertake the equivalent of 10 days (FTE) of training and development activities per year of the studies. The Researcher Development Programme (RDP) run by the Centre for Doctoral Studies provides a wide range of workshops to cover these requirements and students should identify courses that would be useful to them prior to a discussion with their supervisor. The development needs for each new student should be assessed individually by the supervisors at the start of the study programme, and suitable arrangements made to provide and monitor the
effectiveness of such training. The Researcher Development Framework\textsuperscript{13} specifies the skills that should be developed by all research students. These skills should be assessed at admission, and a training plan agreed between student and supervisors. This should be reviewed as part of the 3-6 monthly reviews of all students.

7.4 Faculties should ensure that students are supported to develop an appropriate training plan based on their individual development needs, and the activities to fill these needs can be drawn from workshops run centrally by the Centre for Doctoral Studies or by other providers within King’s or external to the College. It is expected that supervisors will support the training requirements of their students. Attendance at training sessions run by the RDP and other training providers at King’s will be recorded and students should use Skills Forge (http://training.kcl.ac.uk) to book courses, record other development activities and to reflect on their progress. It is recommended that this training record is reviewed at the upgrade to PhD stage and any deficiencies highlighted.

8 Working during a research degree

8.1 During the registration period, the priority of a student and supervisor(s) is the completion of the research degree. However, with the prior approval of the supervisor, a student may undertake a certain level of work not directly related to their degree, which is undertaken in their own time outside of their degree (see Section 6 above for details on the expectation of time spent on studies). It is essential that the supervisor and student must ensure that any such work undertaken is not detrimental to the studies. If it becomes apparent that a student’s progress is being affected by additional work then the expectation is for the supervisor to deal with this as a performance issue, and may require a change of mode of registration from full- to part-time.

8.2 Tier 4 Visa students must comply with the restrictions placed on their working hours at all times and if in doubt consult with the Visa Compliance team.

Teaching during a Research Degree

8.3 Students may be given the opportunity by Heads of Department, with the approval of the supervisor(s), to engage in education support by contributing to undergraduate\textsuperscript{14} teaching, lecturing, demonstrating practical classes, project supervision and taking tutorials. In addition, where appropriate, full-time students may also undertake one clinical session (not related to their studies) per week, and/or contribute towards research-related projects, not directly related to their studies.

8.4 Students may also be given the opportunity to be involved in both formative and summative assessment activities for undergraduate degrees, with the agreement of their supervisor(s) and receive support from an academic mentor as well as complete the appropriate training.

8.5 The student’s teaching responsibilities must be clearly defined in writing, be compatible with their research responsibilities, supported by their supervisor(s), and never exceed a maximum of six hours in total per term week. All students must be provided with appropriate training before commencing any teaching, and must be fairly paid for this work.

8.6 Research students who engage in education support should be mentored by an academic member of staff and receive feedback on their activities from the students they have taught.

\textsuperscript{13} www.vitae.ac.uk
\textsuperscript{14} Students may be allowed to provide educational support for postgraduate taught programmes as an exception; please refer to individual Faculty/School documentation on this
Further guidance on research degree students’ involvement with educational support can be found on the Governance Zone.\(^{15}\)

9. Monitoring and assessment of students’ progress\(^{16}\)

9.1 The principles agreed within the College for monitoring the progress of research students are set out below. They represent a minimum level to which all faculties will adhere, although there will be some flexibility in their implementation in different faculties/schools, which may choose to implement stricter procedures than those set out below. For this reason, it is important that they should be read in conjunction with the guidelines set out in the appropriate faculty and departmental handbooks.

All students and members of staff, including supervisors, PG coordinators and independent assessors, must comply with, and have access to, any system in place for progress monitoring, whether paper-based or electronic.

9.2 Regular review of progress

9.2.1 The progress of all students will be subject to regular, formal review. The nature and management of formal progress reviews, including upgrade reviews, will be determined by faculties within the terms of this document but must involve three assessors, at least one of whom is independent of the student’s supervisory panel.

9.2.2 During their first year of study it is College policy that both full- and part-time students will have their progress formally reviewed within 3 months of initial registration and again after a period of nine months registration. Thereafter, the progress of all students will be reviewed at every six months.

9.2.3 A formal progress review will have one of three possible outcomes:

(i) satisfactory progress: the student’s registration is allowed to continue unconditionally;

(ii) conditional progress: there is cause for concern about the student’s progress such that continued registration is subject to completing whatever conditions are set out in writing prior to a subsequent follow-up review. This may include cases where the lack of progress is due to supervision problems; in such cases the assessors should ensure that steps are taken to resolve those problems as part of the conditions set down;

(iii) unsatisfactory progress: the student has not made the normal academic progress expected of all students and compulsory removal proceedings will begin in line with the College’s Regulations concerning students (Academic Progress Regulations). A determination of ‘unsatisfactory progress’ and removal proceedings under the Regulations shall only commence where there has been an earlier determination of ‘conditional progress’ and the follow-up review provided by paragraph 9.2.4 below determines that the student has failed to make satisfactory progress; or where the student has otherwise received prior written warning from the faculty in the manner specified the Academic Progress Regulations. In the event of removal under the Academic Progress Regulations, the student has a right of appeal against the termination of their studies (see Governance Zone for Academic Progress Regulations).

9.2.4 Whenever ‘conditional progression’ is recommended the student must undergo a follow-up progress review to determine whether progress is satisfactory or if the student should be removed for failure to make the normal academic progress expected of all students. In the case of first year

\(^{15}\) PGR students involvement in teaching and learning

\(^{16}\) This section relates primarily to students on MPhil/PhD degrees, but should be interpreted in the light that the progress of all students on research degrees should be monitored on a regular basis.
students undergoing their 9 month review, this follow-up review must occur before the end of the first year. For other students the follow-up review must occur no later than 6 months from the date of the initial review. The result of any such follow-up review will either be (i) satisfactory progress: student’s registration is allowed to continue unconditionally until the next review; or (iii) unsatisfactory progress the student has not made the normal academic progress expected of all students and compulsory removal proceedings will begin under the Academic Progress Regulations. In the event of removal under the Academic Progress Regulations, the student has a right of appeal.

9.2.5 The result of all progress reviews must be proposed by the student’s principal or lead supervisor and signed off by the PG/research co-ordinator for the subject area, via the College’s Online Progress Monitoring system, to ensure that only those students entitled to re-enrol may do so.

9.3 Upgrade from MPhil to PhD
9.3.1 MPhil/PhD students, whether full-time or part-time will normally be registered, initially, for the degree of MPhil unless they already hold such an award, or they have been admitted with an exemption in accordance with the academic regulations. Under College regulations, transfer of registration from MPhil to PhD will not normally be permitted until the student has completed nine months of full-time study (or part-time equivalent) and has satisfied the conditions set here, and any additional conditions set by the faculty.

9.3.2 The upgrade from MPhil to PhD registration is classed by the College as a formal milestone to be satisfactorily attained by students in their progress towards attaining their PhD.

9.3.3 The upgrade from MPhil to PhD registration should occur as the result of a formal review, but does not lead to a qualification in its own right. It will involve the student producing either a substantial report, draft chapters or other pieces of work, along with a research schedule, a clear research question and evidence of a clear methodology, set of research procedures or framework of inquiry and a formal review meeting to assess the submitted work. The key principle for upgrading is that the student is well on course to produce research of the required standard within the permitted timescale.

9.3.4 There will be three possible outcomes to a formal upgrade review:

(i) unconditional pass: the student’s registration is transferred from MPhil to PhD with immediate effect;

(ii) refer for further review: the student does not meet the requirements to upgrade at this time and is required to meet conditions set by the panel and undertake a further formal review (see 9.3.5 below for the maximum number of attempts). The student will be required to either:
   (a) complete minor amendments for the current upgrade attempt. Following review of these amendments, the panel will determine the final outcome of the upgrade attempt as (i) unconditional pass, (ii) repeat or (iii) fail; or
   (b) repeat the full upgrade process including re-submission of documents and a panel meeting.

Formal notification of this outcome to the student shall be classed as a written warning under Regulation 1.5 of the B4 Academic Progress Regulations, provided that this is made clear to the student in the notification; or

(iii) fail: the review determines:
   (a) that the student’s registration should remain at MPhil, or
   (b) that proceedings to terminate the student’s registration under Academic Progress Regulations should commence.
Removal under the Academic Progress Regulations shall only be permitted after a second upgrade review under (9.3.4 ii - b), except where the student was formally notified prior to their first upgrade review in the manner specified in the Academic Progress Regulations that their progress was not satisfactory.

9.3.5 A student will only be allowed to undertake a maximum of two formal reviews to upgrade from MPhil to PhD registration.

9.3.6 Students have the opportunity to appeal against outcome (iii) above, in accordance with the procedure set out within the Regulations for Academic Appeal.

9.3.7 All students are expected to have transferred from MPhil to PhD status within 18 full-time equivalent months of commencing their studies (36 months for part-time students), although some faculties will prescribe an earlier time period. Students should not be allowed to continue their research without their registration status being clear. Students may also be asked to produce a record of training and development activities undertaken for review at the upgrade stage.

9.4 Where it is considered a student will not upgrade within the prescribed period, the principal supervisor is required to report this to the departmental/postgraduate co-ordinator and to the Faculty Vice-Dean for Doctoral Studies, indicating the reasons, and detailing the remedial action that has been taken.

9.5 Each Faculty Vice-Dean for Doctoral Studies is responsible for ensuring that the procedures outlined above are followed within the faculties. Where this responsibility is devolved to a PRS Committee based in departments or research centres, then the Faculty Vice-Dean for Doctoral Studies should ensure that the monitoring mechanisms are effective and that improvements are being made towards submission and successful completion times and to the quality of the supervisory process. Faculty representatives on the College Postgraduate Research Students Subcommittee will be required to make an annual report describing the process in operation, and indicating the effectiveness of the process.

9.6 Transfer to writing-up status

9.6.1 When a student has completed the data collection and research required for the PhD, they may be transferred from full- or part-time student status to ‘writing-up’ registration according to the procedure established by the Faculty of registration. Transferring to writing-up registration is not an automatic right.

9.6.2 The maximum period permitted for the writing-up registration period for both full- and part-time students is one year. Students must not be allowed to continue on the writing-up status beyond this period. If a student does not submit within the one year allowed for writing-up but is permitted to continue their degree, they must be transferred back to full- or part-time status and charged the appropriate fee.

9.6.3 If it happens, transferring to writing-up will normally take place after a period of approximately three years’ full-time registration (or part-time equivalent), although exceptionally it can take place sooner if the student has completed their data collection and research and will be ready to submit within one year.

9.6.4 Should the transfer to writing-up take place after the three years’ full-time registration point (or part-time equivalent), the student will not be entitled to the full year usually permitted for writing-up. In this instance, the required submission deadline will come before the end of the writing-up year and must always take precedence; however, writing up fees will not be charged pro-rata.
9.6.5 The procedure to move a student from full- or part-time status to writing-up will include an appropriate form of progress report and/or meeting of the supervisory panel to decide whether the student is ready to transfer and can demonstrate that they will submit within the required submission deadline timeframe.

9.6.6 Progress during the period of writing-up must be monitored by use of regular reports. Extensions to the writing-up period will only be considered under exceptional circumstances and will require a suspension of regulations.

9.7 A suspension of regulations is required for students to continue registration beyond the maximum required period (see the relevant regulations for the year the student enrolled). A suspension of regulations must be raised within the faculty by the supervisor and requested by the relevant Vice-Dean for Doctoral Studies. There is no guarantee that an application for a suspension of regulations will be granted. Further information is contained within the Regulations and specific forms are available on the Governance Zone. All queries should be sent to regulations@kcl.ac.uk (see section 16 for further details).

10. Submission of thesis

10.1 In order to enter for the examination of a research degree, students are required to submit an examination entry form at least four months in advance of their submission date (see the Examination Office for full details).

10.2 Where it is considered a student will not submit within the prescribed period, the principal supervisor is required to report this to the departmental/postgraduate co-ordinator and to the Faculty Vice-Dean for Doctoral Studies not less than one year before the submission date, indicating the reasons, and detailing the remedial action that has been taken.

10.3 Once students submit they will not be charged any further fees, even if their registration period crosses over into a new academic year. However, students whose thesis examiners require them to resubmit within either 12 or 18 months will be transferred back to writing-up status in order that their progress towards resubmission can be monitored, and therefore will be charged writing-up fees.

10.4 Once a student has submitted their thesis they should continue to receive access to library, computer facilities and supervisory support as required (see 3.8 of the Academic Regulations, Regulations for research degrees for further details) to assist with preparation for their oral examination (viva).

11. Changes to registration - Interruptions, extensions and transfers

11.1 Overview

11.1.1 Section 3.6 of the Core Code states that all students will be made aware that they will be expected to complete their programme within the period of study set out in the regulations, however, under certain circumstances changes to a student’s registration may occur.

11.1.2 Applications for interruptions, extensions to registration/submission deadlines and/or transfers, must be made in advance, be approved at faculty level, and where appropriate, a suspension of regulations must be sought (see section 16 below for details on suspension of regulations for
research degree students) prior to approval. It is important to retain written evidence of any change to registration and reasons for granting it (within the requirements of Data Protection Act).

11.2 Interruptions

11.2.1 An interruption is when a student is formally permitted by their faculty and funder, where appropriate, to interrupt their studies for an agreed period. It does not count towards the registration period or the time in which the student has to submit their thesis, and the submission deadline should be adjusted accordingly.

11.2.2 Students should not normally be permitted to interrupt their studies for more than 12 months in most circumstances. It is recognised that this may be necessary in certain circumstances where compelling evidence supports this.

11.2.3 Confirmation should be obtained at the start of an interruption period that the student will submit within the appropriate time frame excluding the period of interruption. Students due to return at a particular time will be monitored on a regular basis, to ensure that they return on time.

11.2.4 Interruptions to the course of study may be validly requested for a number of reasons: illness, maternity/paternity leave, personal and family reasons, internships, periods of investigation of research misconduct, and major restructuring of department or research group. It should be noted that these reasons are not exhaustive, and faculties may grant interruptions for other reasons they consider acceptable.

11.2.5 Notwithstanding the above, circumstances where interruptions will not normally be permitted include the following: change of research topic, lack of progress, VSO, expeditions or sport.

11.2.6 In cases of illness or injury, the student should inform the supervisors and department of absences of more than two weeks, and medical certification should be provided. Where a student is or is expected to be absent for more than two months, whether consecutively or cumulatively then the appropriate administrative unit should be informed, and arrangements put in place to interrupt the course of study where appropriate.

11.2.7 It should be noted that a student’s submission date should be extended by the length of any approved interruption and therefore a request for an extension is not required.

11.2.8 Any interruptions requested during the final 3 months of a student’s registration period must be submitted to the relevant Faculty Vice-Dean for Doctoral Studies for consideration. Faculties will be asked to report annually on the numbers of interruptions granted in the final 3 months, along with the broad reasons for these interruptions.

11.2.9 Retrospective interruptions are not allowed. An extension request must be submitted in such cases (see 11.3 below for details).

11.2.10 Students who are suspended from the College due to non-payment of fees are not considered to be on an interruption and must not have their submission date extended in relation to this suspension (see ‘Interruptions/suspensions – a note of clarification’).

---

17 Although it should be noted that College General academic regulations allow for a maximum interruption of 24 months.

18 For Research Council funded students who undertake an internship programme as part of their studentship, the studentship and registration is not usually interrupted, however the studentship is usually extended for the length of the internship programme. Please note that this may result in the College’s registration and submission deadlines differing from the Research Council deadlines. Any queries should be directed to Centre for Doctoral Studies.
11.2.11 For maternity leave, up to nine months' interruption will be approved automatically and the date of submission extended. Students can also apply for up to three further months, and again, the date of submission would be extended. For paternity leave, students can take up to 10 days automatically (which will not affect the date of submission); students may also take up to 13 weeks within 12 months of birth or whatever is permitted by government legislation. If the additional time is taken, the date of submission will be extended by the appropriate period.

11.2.12 Absences for relevant training or time spent in industry does not lead to an interruption or change to the submission date. Also, a maximum of six hours teaching or demonstrating is permitted per term week (see 8.3 above); this does not provide cause for an extension to the submission date.

11.3 Extension

11.3.1 An extension is when a student’s submission / registration period is extended beyond the original deadline as set out by the academic regulations. The following provides details of the requirements and circumstances for seeking extensions to registration / submission deadlines and advice when considering such requests.

11.3.2 Any request for an extension to a submission deadline must be made at least 3 months in advance of the deadline. Retrospective extensions cannot be granted.

11.3.3 If a student experiences ongoing medical/health problems throughout their research but decides they do not wish to interrupt their studies, information must be kept on record in case an extension to their submission deadline is required nearer the time. Short periods of absence through illness should be recorded as this may eventually have an impact on a student’s submission deadline, and without a record of such periods it will be difficult to grant an extension.

11.3.4 In all cases of medical/health problems, medical certificates/doctor's notes/counsellors reports must be provided by the student, noted by the supervisor and kept on the student file for future reference where required. Without supporting documentation, an extension may not be granted.

11.3.5 If an accident/unexpected illness affects a student during the writing-up year this must be recorded accordingly and where it is obvious an extension will be required this should be sought as early as possible.

11.3.6 Where a student has experienced problems with their supervisor(s) it is the responsibility of the Head of Department/Vice-Dean for Doctoral Studies to deal with/rectify this as quickly as possible. Therefore such circumstances, unless in extreme cases, should not be the sole grounds for seeking an extension.

11.3.7 Extensions on the basis of purely financial reasons will not be considered, unless the circumstances of the individual case are deemed extreme enough and beyond the student’s control. Such instances should be treated on a case by case basis.

11.3.8 See paragraph 11.2.11 above for details regarding maternity and paternity leave.

11.3.9 For students in receipt of internal funding, during periods of certified illness full-time students should normally be paid at the full rate of maintenance grant (if in receipt of one) for the first 13 weeks within any twelve-month period. If the illness lasts for more than 13 weeks the student’s award and registration must then be interrupted, and the submission deadline extended

---

19 For students in receipt of funding during their research degree, details of what maternity/paternity leave and/or pay is offered by the relevant funding body should be provided as part of the terms and conditions of the award. Students should ensure they refer to the relevant terms and conditions to determine how such leave may impact on their funding.
accordingly. Please see section 12 for the policy on ‘Sick-leave arrangements for students on fully-funded studentships’ at King’s.

11.3.10 Extensions will not be considered where a student has undertaken paid work during their research degree programme. Any working commitments must be approved in advance by the student’s supervisor, and must not be detrimental to the student’s progress.

11.3.11 Taking up full-time employment during the writing-up period is not a valid reason for granting an extension; a request for an extension in such cases will only be considered if other circumstances apply.

11.3.12 For students in receipt of Research Council funding, please note that additional steps may need to be taken in order to gain official approval from the relevant Research Council, please see section 13 below for further details on the processes involved.

11.3.13 If it is discovered that a student in receipt of funding undertakes a period of unauthorised absence then the award must be placed in abeyance until the matter is reviewed.

11.3.14 In order for an extension to the required registration/submission deadline to be approved, a suspension of regulations must be sought. Details for applying for a suspension of regulations can be found online and forms must be submitted to regulations@kcl.ac.uk (also see section 16 below for information on suspensions of regulations for research students).

11.4 Transfers of mode of attendance in final year

11.4.1 Students should not usually be permitted to transfer mode of attendance in the final year leading up to their submission deadline. The following should be taken into consideration:

11.4.2 Rather than being registered as full- or part-time, the majority of students in their final year will be on writing-up status, at which point transfers of mode of attendance are not applicable. Students are not allowed to exceed one year for writing-up, regardless of their original mode of attendance. Therefore a transfer of mode of attendance during the writing-up period is not permitted.

11.4.3 If a student is still registered as full- or part-time in their final year (e.g. those on 4 year PhD programmes) a transfer of mode of attendance may be permitted, as long as it is in accordance with any funding conditions set out for their degree. However, students should not be permitted to transfer mode of attendance in the final 3 months prior to their submission deadline. In exceptional circumstances, requests to transfer mode of attendance within 3 months of a submission deadline may be made, but must be referred to the Vice-Dean for Doctoral Studies for the relevant faculty for approval.

12 Sick leave arrangements for students on fully funded studentships

12.1 The following applies to full-time students in receipt of a studentship (covering stipend and tuition fees at least at home/EU level) funded via the Centre for Doctoral Studies:

12.2 If a student is prevented by illness or accident from following their studies for a period of more than 2 weeks the student must inform their supervisor / postgraduate administrator and forward a medical certificate as appropriate.

12.3 During periods of certified illness, full-time students will be paid at the full rate of maintenance for the first 13 weeks within any 12 month period.

12.4 If the illness lasts more than 13 weeks the studentship must be put in abeyance and the student transferred to interrupted status. No studentships payments will be made during this period.
12.5 Abeyances on account of illness will not normally be approved for periods in excess of 12 months.

12.6 If the studentship has been put in abeyance the supervisor must confirm that the student is fit to resume their studies before a studentship can be reinstated.

12.7 Where a student has experienced a period of certified illness they will be eligible to apply for an extension to their studentship, for a maximum of 13 weeks only. This extension must be applied for no less than 3 months prior to the end of the studentship, and extensions will only be considered on production of relevant medical certificates, support from the student’s supervisor and signed off by the Vice-Dean for Doctoral Studies.

12.8 For Centre for Doctoral Studies funded studentships the final decision rest with the Centre for Doctoral Studies Support Office.

12.9 For students in receipt of a Research Council funded studentship, the terms and conditions of the relevant Research Council will apply in cases of sick leave and the opportunity to apply for a funding extension.

13 Arrangements for extensions to submission deadlines for Research Council funded students

13.1 Students who are funded by Research Councils are required by the terms and conditions to submit their thesis within a maximum of 4 years of their doctoral award commencing, in line with College regulations and the Core Code.

13.2 Under some circumstances this submission deadline can be extended. However, in most cases approval must be sought from the Research Council in advance for a request to be considered.

13.3 Retrospective extensions will not be considered by any Research Council, so requests for extensions to submission deadlines must be submitted at least 3 months in advance of a submission deadline.

13.4 For students funded by BBSRC and ESRC, formal approval has to be given by the Research Council, or Research Council institutional contact, before an interruption or extension can be granted. Please contact the Centre for Doctoral Studies Support Office to take this forward with the relevant Research Council.

13.5 For students funded by EPSRC, MRC, NERC and STFC Doctoral Training Grants, formal approval from the Research Council is not required in advance. For these students Faculties must follow the College requirements for interruptions and extensions, seeking a suspension of regulations where appropriate, and inform the Centre for Doctoral Studies Support Office in advance and no later than one month from the change to ensure this can be reported to the relevant Research Council.

14 Feedback

14.1 All faculties should have procedures, in line with The Student Voice20, overseen by the Faculty PRS Committee, whereby feedback is gained from students on the learning experience and support infrastructure.
14.2 The College participates in the national Postgraduate Researcher Experience Survey (PRES) which gives research students the opportunity to feedback on their educational experience.21

Complaints and appeals

15.1 Students should refer to the Student complaints procedure in the Governance Zone if they are dissatisfied with any aspect of their studies, including aspects of their supervision.

15.2 Students whose registration is terminated for failure to make sufficient academic progress may appeal under the Academic Progress Regulations.

15.3 Where termination is the result of an upgrade review under 9.3.4-5 above, the appeal procedure provided within the College procedure for appeals must be completed before the College will hear an appeal under the Regulations.

15.4 Students who are dissatisfied with the outcome of their final oral examination (viva) may appeal under the appropriate procedure for consideration of appeals by candidates for research degrees (see Regulations for Academic Appeal).

15.5 Students’ attention is also drawn to the College Procedure for investigating and resolving allegations of research misconduct, which is located in the Governance Zone, and to the College’s Code of practice for intellectual property, commercial exploitation and financial benefits.

Suspension of regulations for research degree students

16.1 Applications should normally be made through the Vice-Dean for Doctoral Studies (requests sent by the Head of Faculty should at least indicate that the Vice-Dean for Doctoral Studies has been consulted). Suspensions relating to taught elements of professional doctorates will also require approval from the Faculty Board of Examiners.

16.2 Whilst applications relating to research students may be made under a number of provisions in the regulations for research degrees or other parts of the academic regulations, the bulk of suspensions sought are to permit the student to take longer to submit their thesis than the required period of study for which they originally registered. This does not apply to students who first registered before October 2002, as the regulations from that year introduced a required submission time. This varies according to the year in which the student first registered. Another commonly-sought suspension is to permit the student to interrupt their studies for longer than the two years permitted by the regulations.

16.3 There are two distinct types of extensions. The first is requests which result in an approved extension of the submission deadline, which could include permission to take more than two years of interruption of studies as per College regulations. In this scenario, the submission deadline will be extended and the student will be classed as an on-time submission provided they submit within the approved extended period. The second is requests for suspensions of regulations to permit a student continued registration in order that they can submit late where they have or are about to overrun their original submission deadline. In this instance, the original submission deadline will remain unchanged but the student will be permitted to exceed their submission date and to remain registered in order that they can submit their thesis within the approved period of extended registration. This type of suspension will result in a late submission within the key performance indicators, and is designed to enable a student who is close to submission but who will miss their deadline to submit rather than have their studies terminated.

21 http://www.heacademy.ac.uk/pres
16.4 With both these types of suspension, the student must submit within the extended period or termination of studies procedures will be actioned if they do not.

1. Requests to EXTEND a submission deadline
Circumstances in which an extension might be requested whereby the student’s expected submission date is amended and they do not count as a late submission might include those that would otherwise be classified as a reason for interruption, for example illness or personal difficulties, in circumstances where it is not possible to interrupt their study. Another possible example might be the sudden unexpected absence of the supervisor. What it should not include are cases of bad planning, lack of academic progress or poor communication, for example if the supervisor is away at a conference at a time when the student needs to submit. In that situation, (2) below will apply.

2. Requests to EXCEED a submission deadline and submit late
Applications in these circumstances could include requests for students who are approaching or have exceeded their original submission deadline where there is no strong reason for this, for example lack of organisation, planning or progress. Rather than require the student’s registration to be terminated at this late stage in their programme, a suspension is sought to permit them to remain registered and submit late within an approved period. In these circumstances, the original submission deadline will remain the same and they will show up in Key Performance Indicators as a late submitter.

16.5 Recording of decisions
For both these circumstances, a suspension of regulations should be sought and where possible, an indication on the form should be provided as to which of the above the faculty considers applies in the circumstances. Please note that even if an application is made under the former category above, the latter may be granted if it is not considered that a sufficiently strong case has been made.

17 Joint PhD Degrees

17.1 Students on Joint PhD Programmes approved by PDAC and whose home institution is King’s College London should comply with the normal King’s College London Regulations and Code of Conduct with the exceptions as listed below.

17.2 The admission to Joint PhD programmes run in collaboration with a partner institution will be reliant upon the processes and approval of both institutions and therefore entry requirements may vary. Approval must be received from both institutions before an offer can be made.

17.3 Students on joint PhD programmes must have supervisors based in both institutions. Supervisors should work together to monitor progress, though the bulk of the administration will be managed by the home institution.

17.4 Students on joint PhD programmes must enrol at both institutions and re-enrol each year throughout their programme. Students will be required to provide details of their travel plan at the application stage. Any changes to this must be discussed with supervisors and approved by both institutions.

17.5 The progress of students on joint PhD programmes will be monitored according to the procedures of the home institution. In some cases students may also be required to completed progress reports whilst at the partner institution.
17.6 Students on joint PhD programmes will follow the upgrade procedures of their home institution. Any King’s-home students who do not upgrade to PhD may be awarded an MPhil, but this will be awarded solely by King’s College London.

17.7 Students on joint PhD programmes will be required to submit copies of their thesis to both institutions. Students should check with the partner institution for confirmation of the number of copies required and method of submission.

17.8 For students on joint PhD programmes, any requests for changes to registration status should be referred to both institutions, usually via supervisors in the first instance, so that both hold accurate records.

17.9 Students on joint PhD programmes who wish to make a complaint will normally do so through the process of the institution where they are resident at the time, in so far as the compliant relates to their study at that particular university. Students who wish to make an appeal in respect of academic progress or concerning a decision of the examiners will do so by using the procedures of the designated home institution.

17.10 Students on joint PhD programmes will usually be examined by a panel of at least three examiners. This will usually take place at the home institution and may involve a video link to one of the examiners.

17.11 Students on joint PhD programmes should follow the procedures for ethical approval set out by the Research Ethics Office. If a student intends to conduct research requiring ethical approval in the country of the partner institution, approval must also be gained from that institution according to their procedures.

18 Split-site PhD Degrees

18.1 Students on agreed split-site PhD Programmes should comply with the normal King's College London Regulations and Code of Conduct with the exceptions as listed below.

18.2 The minimum period of residence in London for each students on an agreed split-site MPhil/PhD programme will depend on the agreement between their Research Institution and their faculty at King's College London, but will normally involve periods at induction, upgrade and submission and viva.

18.3 Students on split-site programmes must have supervisors based in both institutions. The external supervisor will need to be approved by the King's College London faculty where the student is based, using their normal procedures.

18.4 Supervisors should work together to monitor progress and comply with normal King's College London processes and procedures of documenting this.
Appendix 1

Roles and Responsibilities

The following aims to provide an outline of the key roles and responsibilities for all those involved with postgraduate research degree programmes. It should be noted that these are not exhaustive and must be read in conjunction with the main body of the College Core Code of Practice for Research Degrees. These may also be added to from time to time and the most up-to-date version will be made available on the Centre for Doctoral Studies webpages.

Section A: Responsibilities of the Faculty/Department/Division and Faculty Postgraduate Research Students Committee

Responsibilities of the Faculty/Department/Division

Ensure that students are admitted for a research degree only where suitable supervision and the necessary equipment and facilities are available.

Ensure that suitable research topics have been agreed for each student and that an appropriate principal supervisor and second supervisor/advisory panel is appointed within the time specified.

Ensure that the procedure for transfer of registration from MPhil to PhD operate effectively.

Provide general guidance to all research students and to establish standard procedures for their effective academic supervision and monitoring.

Ensure all students attend the Induction Course and other relevant courses recommended by their supervisor(s).

Review the monitoring reports from students and supervisors and to take action needed to facilitate completion of the doctorate.

In the case of breakdown of relations between a supervisor and the student and in other circumstances where a change of supervisor is desirable, to give advice in strict confidence, to assist in resolving any difficulties and, where necessary, to arrange the appointment of a replacement supervisor. Where a supervisor leaves the College’s employment, ensure suitable arrangements are in place so that the student receives appropriate support and supervision.

In cases of absence or the departure of the principal supervisor, ensure that adequate arrangements are made for the student's continuing supervision.

Ensure appropriate workspace is available for each student.
<table>
<thead>
<tr>
<th>Responsibilities of the Faculty Postgraduate Research Students Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Keep under review the quality of the support for and supervision of research students within the Faculty and to take action as necessary.</td>
</tr>
<tr>
<td>Ensure that the mechanisms for reviewing and responding appropriately to the progress reports of all students in the Faculty are in place and working effectively.</td>
</tr>
<tr>
<td>Devise mechanisms to enable open and constructive feedback to be provided by a) students and b) supervisors on the learning experience and support infrastructure.</td>
</tr>
<tr>
<td>Ensure that the procedure for entering MPhil and PhD examinations is properly followed and in accordance with the <em>Regulations for research degrees</em>.</td>
</tr>
<tr>
<td>Ensure that part-time students, students registered in more than one department/division or faculty, and students registered in another institution or organisation are fully integrated into the Faculty, are effectively supervised and their progress monitored.</td>
</tr>
<tr>
<td>Ensure where a student is in receipt of funding administered by the Faculty/Department/Division that clear terms and conditions are presented to the student from the outset, including details of whether additional support can be accessed for such things as maternity/paternity and/or sick leave.</td>
</tr>
<tr>
<td>Familiarise themselves with the <em>Core Code</em> and other College documentation including the <em>Academic regulations</em>, <em>Regulations concerning students</em> and <em>General regulations</em>, and Faculty postgraduate research handbooks.</td>
</tr>
</tbody>
</table>
## Section B

### Responsibilities of the Head of Department/Division

<table>
<thead>
<tr>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>To exercise overall responsibility for the welfare and academic progress of the research students in the Department/Division.</td>
</tr>
<tr>
<td>In the case of students proposing to register in more than one department, division, faculty, institution or organisation, to agree in writing the responsibilities of each relevant institution and to specify in advance of registration what facilities, equipment and benefits (e.g. field trips) are expected to be provided on each side.</td>
</tr>
<tr>
<td>To exercise responsibility for safety and provide appropriate training and information through the nominated Safety Officer.</td>
</tr>
<tr>
<td>To ensure that the requirements set out in the <em>Core Code</em> are followed and in particular to ensure that the procedures for the effective supervision and monitoring of students are strictly observed.</td>
</tr>
<tr>
<td>To delegate, where appropriate, responsibility for the organisation of postgraduate research in the Department/Division to a nominated person and/or Departmental/Divisional committee.</td>
</tr>
<tr>
<td>To familiarise themselves with the <em>Core Code</em> and other College documentation including the <em>Academic regulations, Regulations concerning students and General regulations</em>, and Faculty postgraduate research handbooks.</td>
</tr>
</tbody>
</table>
### Section C

<table>
<thead>
<tr>
<th>Responsibilities of Faculty Vice-Dean for Doctoral Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Vice-Deans for Doctoral Studies have delegated responsibility from Dean/Head of Faculty to represent and further the interests of postgraduate research students within their Faculty and oversee matters relating to their educational experience.</td>
</tr>
</tbody>
</table>

#### Quality Assurance and enhancement

- Ensure that the minimum requirements of the *Core Code* are followed in their Faculty; monitoring of the effectiveness of the *Core Code* in ensuring a high quality educational and training experience for students. As appropriate to the Faculty setting, developing, maintaining and amending Faculty policies and procedures.

- Ensure that supervisors and Heads of Department/Division in the Faculty are aware of the regulations and policies of the Faculty, College and Centre for Doctoral Studies, as represented by the College Regulations, *Core code of practice* and specific Faculty provision/handbooks. To ensure that Heads of Department/Division and individual supervisors conform to College and Faculty requirements and recommendations.

- To work closely with relevant Faculty Education Support/Registry/Academic centre teams for the purposes of quality assurance in postgraduate research student administration and governance.

- Act as the Faculty representative on the College’s Postgraduate Research Students Subcommittee.

- Advise the Postgraduate Research Students Subcommittee on modifications to the *Core Code*.

- Ensure appropriate provision for College and Faculty/Department/Division induction sessions, project and supervisor approval, progress monitoring, MPhil/PhD transfer, transfer to writing up and timely thesis submission.

- Ensure that supervisors have been appropriately trained, and to monitor the further training and continuing professional development of supervisors in their Faculty.

- Contribute to the administration of the Supervisory Excellence Awards, including nominating excellent supervisors within the Faculty, organising a Faculty panel to select nominees to go to the central selection panel of the Centre for Doctoral Studies and writing supporting statements for them.

- Be prepared to disseminate good practice identified within and outside the College.

#### Researcher Development Agenda

- Ensure that all students and supervisors in the Faculty are aware of and fully implement the obligations set out by the Research Councils and the College with respect to transferable skills training and the *Researcher Development Framework*.

- Ensure that students in the Faculty are aware of training opportunities offered through the Centre for Doctoral Studies (including one-to-one sessions with Careers Consultants and Royal Literary Fund writing fellows), *Vitae*, Research Council-funded, and other courses and Faculty-based training provision designed to help them acquire the skills that they need to complete a timely thesis and gain appropriate subsequent employment. To encourage use of these different resources, as appropriate.
### Problem solving, complaints and appeals

Deal with the first stage of the complaints procedure as applied to students and supervisors, passing unresolved complaints to the Office of the Director of Students & Education.

Deal with issues which arise when students have problems, and help to solve those problems. This may include requesting suspensions of regulations, authorising extension of submission deadlines, interruption of studies, changing supervisors, projects or funding arrangements, or withdrawing the student’s registration.

Where required, arrange or apply for suspension of College Regulations in specific cases.

Engage with the procedures set out within the *Regulations for Academic Appeals*, as required.

### Monitoring student progress

Monitor the upgrade and examination success of the postgraduate students in the Faculty, read and act on examiners reports, and identify any factors which lead to failures or referrals. Take action to reduce poor progression and late submissions, examination failures and referrals. This should include, where appropriate, requirement for supervisors to undergo further training.

Unless a separate Faculty PGR Examinations Committee exists, take part in the process for the nomination of examiners, as appropriate in the Faculty. This may include the formal approval of examiner nominations or/and the authorisation of overseas examiners for some candidates.

### Facilities and support

Oversee the organisation of Faculty postgraduate events, such as Research Days, Faculty induction, and Faculty-specific transferable skills training.

Assist the College and Centre for Doctoral Studies in planning and delivering events such as the College Induction and Postgraduate Open Days.

Monitor the facilities and workspace available to students and take action to improve them where necessary.

Ensure that specific arrangements are in place for the pastoral care of all postgraduate research students, and that students, supervisors and departments are notified of these at the point of enrolment.

Participate in the allocation of Centre for Doctoral Studies, and other, studentships and funding. Vice-Deans for Doctoral Studies will be asked to select the best applicants in their School and write supporting comments, and then rank applicants from the whole College.
### Section D

<table>
<thead>
<tr>
<th>Responsibilities of supervisors</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Supervisory team</strong></td>
</tr>
<tr>
<td>Each student will be allocated a principal supervisor at the time of registration. A second supervisor or advisory panel will be nominated at the same time to support the principal supervisor in the monitoring of the student’s progress, as well as stand in for the principal supervisor during periods of absence.</td>
</tr>
</tbody>
</table>

Supervisors are therefore required to co-operate with co-supervisors and the other members of the student’s supervisory team at all stages throughout the student’s registration.

<table>
<thead>
<tr>
<th>Training and development of supervisors</th>
</tr>
</thead>
<tbody>
<tr>
<td>All supervisors are required to familiarise themselves with the <em>Code of practice</em> and other College documentation including the <em>Regulations for research degrees</em>, <em>Regulations concerning students</em> and <em>General regulations</em> and Faculty postgraduate research handbooks.</td>
</tr>
</tbody>
</table>

All newly-appointed members of staff with responsibilities for supervision are required to attend the College’s course on ‘Being a new postgraduate research supervisor’, organised by the Researcher Development unit in the Centre for Doctoral Studies. Email researcherdevelopment@kcl.ac.uk to find out dates and book onto a course. Where faculties offer equivalent training these can be used as an alternative.

Experienced supervisors must ensure that their knowledge of the current regulations and practices for supervision are up to date, and must adhere to their Faculty’s policy on training and development for supervisors.

Supervisors are encouraged to attend the supervisory workshops organised as part of the Centre for Doctoral Studies’ Researcher Development Programme.

The *Handbook for Supervisors*, published by the Centre for Doctoral Studies, provides a comprehensive guide to assist those with responsibilities for supervising and supporting postgraduate research students.

Supervisors should be informed and aware of issues and College policies concerning bullying, discrimination and harassment, and ensure that they do not tolerate these in meetings or in the workplace.

<table>
<thead>
<tr>
<th>Admissions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Take all reasonable steps, in partnership with the admissions tutor where appropriate, to ensure that all students admitted for study onto research degree programmes are suitably qualified with the necessary competence in the English language, and that their research projects can be completed within the required timeframe.</td>
</tr>
</tbody>
</table>

Obtain the approval of the Head of Department or Division for acceptance of the student.

Ensure where a student is in receipt of funding that the student receives clear terms and conditions from the outset, including details of whether additional support can be accessed for such things as parental leave and/or sick leave.

<table>
<thead>
<tr>
<th>Project title and approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>A student’s research topic (title and brief description) will normally have been agreed prior to registration and no later than one month after registration or completion of any required qualifying and/or examination.</td>
</tr>
</tbody>
</table>

Supervisors should complete the Faculties/School’s project approval process.
Supervisors are required to assess the feasibility of the research project to ensure that it can be completed within the prescribed time frame of the research degree programme.

Supervisors should also confirm that all equipment, facilities and technical support, where appropriate, needed for the timely completion of the research project will be in place when the student needs them.

### Induction information

Supervisors should ensure that students have received the required induction documentation (see section 7 of the Core Code) and attended an induction session held by the Centre for Doctoral Studies and Faculty or Department/Division.

As part of a student’s introduction to the Department/Division, supervisors should ensure that the student’s attention has been drawn to Departmental/Divisional Codes of Practice. They should ensure the student is aware of their responsibilities in relation to the Health and Safety at Work Act, research integrity and ethical issues and occupational health clearance where appropriate.

Within the first 3 months of a student’s registration supervisors should have discussed and co-signed the Student/Supervisor Agreement with the student, confirming understanding of roles and responsibilities as set out in the Core code.

### Pastoral care

Principal supervisors have the lead responsibility for the pastoral care of their students, with the second supervisor, Head of Department, Vice-Dean for Doctoral Studies and Centre for Doctoral Studies staff all providing support to students as appropriate.

Additional guidance can be found within the Handbook for Supervisors, and students should be made aware of the other sources of such support they can access which is independent from their supervisory team.

### Early guidance on research project

At the start of a student’s research project, supervisors should give guidance about the nature and planning of the research and the standard expected, about literature and sources, attendance at taught classes (if appropriate), about requisite techniques (and access to training where appropriate) and about the legal, ethical and professional norms of research (including requirements for formal approval such as ethical review of research with human participants).

Supervisors should discuss with the student how any possible publication(s) should be managed, especially with respect to its (their) authorship.

### Skills development and training

As an integral part of the supervision and review processes, supervisors are required to ensure that the needs of students with regard to personal development and training in transferable skills are assessed regularly. Supervisors are expected to support their students’ attendance at appropriate courses or participation in other activities to meet those needs.

Students are able to use Skills Forge (http://training.kcl.ac.uk) to help identify their training needs, book training courses online and keep a log of all of their development activities.

### Contact with students

Supervisors must maintain regular contact with students throughout the research project. Ideally contact should be maintained through regular, individual meetings to be scheduled after discussion with the student concerned. However, where physical presence at the College is not necessarily appropriate, contact must be maintained via telephone or email contact.
A timetable of meetings and/or contacts should be arranged at the start of the research project. The frequency can be amended throughout the course of the research project, but agreement should be reached between both parties.

Supervisors need to ensure that regular contact is maintained with students who are undertaking a period of ‘off-campus study’.

Further information about the individual Faculty practice for frequency of supervisory contact can be found online.

It is the supervisor’s responsibility to provide the supervision that is needed to ensure completion within the agreed time, and to bring in co-supervisors with relevant expertise where necessary.

Supervisors have the primary responsibility for communicating academic decisions to their supervisees.

Supervisors are reminded to take particular care with regard to international students who, in the early stages, may need very frequent contact and advice. The assistance needed may include help with language problems and advice about language training where necessary. The English Language Centre can provide additional support for students with academic writing as well as language skills.

Supervisors should also be aware of the reporting responsibilities the College has in respect of international students on Tier 4 student visas. Guidance is provided by the Visa Compliance team.

**Progress review – formal and informal**

Supervisors should require written work from the student as appropriate and return such work with constructive criticism within times mutually agreed. It is advised that a time-plan and set of objectives are drawn up with the student to enable monitoring of achievement throughout the project.

In conjunction with the student, supervisors must arrange as appropriate for the student to give presentations on the progress of his or her research to Departmental/Divisional staff and other postgraduate students. Supervisors are encouraged to suggest to students that they attend and/or present their work at an international or national conference appropriate to their field of research.

Supervisors must ensure that the student is made aware of their progress, especially where it is inadequate or when the standard of work falls below that expected.

Supervisors must participate in formal reviews of the student’s progress as required by the appropriate Faculty committee and take other steps to ensure that problems with progress are identified and addressed as early as possible (see section 9 of the Core Code for the main principles for formal progress monitoring).

Supervisors must participate in the MPhil/PhD upgrade process, using the procedures adopted by their Faculty. They should also use the appropriate Faculty procedure to transfer the student to writing-up registration, if necessary and appropriate.

Where appropriate, supervisors may be asked to provide additional progress reports for students in receipt of studentships which are renewed subject to satisfactory progress.

Where a student has been required to resubmit their thesis following an oral examination, the student will be returned to writing-up status (see 9.6 of the Core Code). Supervisors should ensure that they provide the required support and supervision to ensure that the student is able to resubmit within the required time frame.
### Teaching responsibilities

There may be opportunity for students to contribute towards teaching through lecturing, demonstrating practice classes, project supervision and taking tutorials. Supervisors must ensure that all students have received the appropriate training before commencing any teaching and that the responsibilities do not exceed an average of 6 hours in total per term week (see section 8 of the Core Code for further details). Details of the support provided by the King’s Academy can be found online.

### Submission of thesis and examination process

Supervisors should discuss with the student, the most appropriate time to submit the thesis, taking into account the minimum and maximum registration periods as set out in the Regulations for research degrees.

Supervisors are responsible for arranging the appointment of the examiners, when requested by the College. Full details of the examination procedure can be found on the Examinations Office webpages.
### Section E

#### Responsibilities of the Student

**Understanding of regulations**

Students are required to familiarise themselves with the *Core Code* and other College documentation including the *Regulations for research degrees*, *Regulations concerning students* and *General regulations* and any Faculty postgraduate research handbooks. Key documents for research degrees can be found within the *Centre for Doctoral Studies* webpages or via the *College Governance Zone*.

In addition to the above, students should acquaint themselves with and observe the Departmental/Divisional Code of Practice. They should be aware of their responsibilities in relation to the Health and Safety at Work Act, ethical approval procedures, intellectual property rights, plagiarism regulations and occupation health clearance where appropriate.

Within the first 3 months of a registration students should have discussed and co-signed the Student/Supervisor Agreement with their supervisor(s) confirming understanding of roles and responsibilities as set out in this *Core code*.

Students who are in receipt of funding for their research degree programmes must ensure that they understand the terms and conditions attached to the funding from the outset and that they are been made aware of all requirements and entitlements, in particular around the availability of additional support for such things as parental and/or sick leave.

**Contact with supervisor**

Students must discuss with their supervisors the type of guidance required and must maintain regular contact with their supervisor(s) throughout the research project. Ideally contact should be maintained through regular meetings to be scheduled after discussion with the supervisor(s). However, where physical presence at the College is not necessary or appropriate, contact must be maintained via telephone or email.

A timetable of meetings and/or contacts should be arranged at the start of the research project. The frequency can be amended throughout the course of the research project, but agreement has to be reached between both parties before any changes are made.

Students should keep a record of when supervisory meetings take place and the agreed action points for the student and supervisor that arose from the meeting.

Students must ensure that contact is maintained with their supervisor(s) during any periods of off-campus study.

It is the responsibility of the student to keep the supervisor informed of any changes in personal or other circumstances that might affect the progress of work.

Students should take the initiative in raising problems which have arisen in their work.

**Training and development**

Students should discuss with their supervisors their skills training and development requirements, including transferable and generic skills. From these discussions, students should identify training and development needs and where appropriate attend relevant training provision to help meet those needs. Such discussions should occur at regular intervals through the student’s programme of study.

Students are able to use *Skills Forge* to help identify their training needs, book courses online and keep a log of all of their development activities.
### Progress review – formal and informal

Students must take responsibility for the quality of the work being carried out, and maintain adequate records of progress and development of the research project.

Students must maintain the progress of the work in accordance with the schedule for completion, as agreed with their supervisor(s), in particular the presentation of written material, allowing sufficient time for comments and discussion.

As agreed with supervisor(s), students must keep to the agreed time-plan to ensure that the thesis is submitted within the prescribed period of study. Full details of the prescribed period of study can be found in the *Regulations for research degrees* within the Centre for Doctoral Studies webpages or via the College Governance Zone.

Students are required to complete the appropriate progress monitoring and upgrade procedures within the time frame set by the Faculty of registration.

### Change of circumstances

Students are required to inform supervisors and the Department/Division, as well as the appropriate administrative unit of any change of address, email and other contact details.

Any changes to circumstance that may affect a student’s progress must also be reported as early as possible.

Students in receipt of funding during their research must ensure they inform the appropriate administrative contact for the funding body about any changes to circumstance as this may affect the status of their funding.

### Vacation dates and periods of absence

Students should agree their holiday periods, between a minimum of 4 weeks and up to a maximum of 8 weeks per year inclusive of public holidays and College closure dates, with their supervisor(s).

Students who are studying under a Tier 4 visa must ensure they report any holidays which occur outside of the College’s standard vacation periods and carry a Confirmation of Studies letter with them when travelling outside of the UK. Further advice can be provided by the Student Advice office.

Unavoidable periods of absence due to, for example, illness or personal issues, should be reported to the supervisor(s) and Departmental/Division and/or appropriate administrative unit as soon as possible. It may be necessary for the student to interrupt their studies if the illness or personal issues are likely to delay their research for longer than eight weeks (see section 11 of the *Core Code*).

### Teaching responsibilities

There may be opportunity for students to contribute towards teaching through lecturing, demonstrating practice classes, project supervision and taking tutorials. All students must ensure they have received the appropriate training before commencing any teaching. This might be provided by the School within which they are studying or by King’s Academy.

Further guidance for PGR students involvement in teaching and learning can be found within the Governance Zone.

### Submission of thesis and examination process

Students should decide, subject to satisfactory progress and in liaison with the supervisors, the most appropriate time to submit their thesis, taking into account the minimum and maximum registration periods as set out in the *Regulations for research degrees*. 
Students are reminded that a thesis must consist of work which reflects their own account of their investigations, the greater proportion of which must have been undertaken by the student during the period of registration under supervision for the degree.

Full details of the examination procedure can be found via the Examinations Office webpages.

All queries regarding this document should be directed to the Centre for Doctoral Studies: doctoralstudies@kcl.ac.uk