

Research Degrees: Termination of Candidature

Classification:	Code of Practice
Version Number:	2.03
Status:	Approved
Approved by:	University Research Committee
Approval Date:	03/07/2023
Effective from:	14/07/2023
Next Review Date:	30/09/2024
Document Author:	Doctoral College
Document Owner:	Quality Support Service
Department/Contact:	Doctoral College
Collaborative provision:	Not Applicable
Related documents:	QAA UK Quality Code (2018). University Programmes Regulations - PhD by thesis. University Programmes Regulations - Masters by thesis. University Code of Practice: Academic Appeals. University Code of Practice: PGR.
Published location:	Quality and Standards website. Quality and Standards University of Hull

All printed or downloaded versions of this document are classified as uncontrolled.

A controlled version is available from the university website.

This document is available in alternative formats from
policy@hull.ac.uk

Research Degrees: Termination of Candidature

Table of Contents

1. INTRODUCTION	3
2. AUTHORITY	3
3. UNSATISFACTORY PROGRESS	3
Faculty Warning	4
University Warning	4
Termination of Candidature	5
Transfer to Masters.....	5
4. ABSENCE WITHOUT GOOD CAUSE	6
Faculty Warning	6
University Warning	6
Termination of Candidature	6
5. FAILURE TO SUBMIT SUPERVISORY MEETING, MID -TERM REVIEW AND ANNUAL MONITORING PROCESS RECORDS, OR ATTEND THE MEETINGS	7
University’s Formal Progress Monitoring Process	7
Departmental Warnings.....	7
Faculty Warning	8
University Warning	8
Termination of candidature	9
6. CANDIDATE OUTSIDE THE PERIOD OF AN AGREED EXTENSION OR EXCEEDING THE MAXIMUM PRESCRIBED PERIOD OF STUDY	9
Candidates outside the period of an agreed extension.....	9
Exceeding the maximum prescribed period of study	10

Research Degrees: Termination of Candidature

1. INTRODUCTION

- 1.1 This document sets out the procedure to be followed in circumstances where an Academic Unit (Department, School, Institute or Faculty) wishes to recommend to Research Degrees Committee (RDC) that a research degree candidate's programme of study be terminated for reasons other than the use of academic misconduct (including research misconduct).
- 1.2 Where Academic Unit is referred to in this Code of Practice, it means the Department, School, Institute or Faculty that is most relevant under the circumstances.
- 1.3 This procedure applies to all candidates undertaking research degrees by thesis whether at Masters or doctoral level.
- 1.4 A candidate's programme can be terminated under this procedure on the grounds of:
 - a) Unsatisfactory progress
 - b) Absence without good cause.
 - c) Failure to submit supervisory meeting, mid-term review and annual monitoring progress records, or attend the meetings.
- 1.5 Allegations of academic misconduct must be dealt with in accordance with the regulations for academic misconduct.

2. AUTHORITY

- 2.1 RDC is the final arbiter of the interpretation and application of this code of practice.

3. UNSATISFACTORY PROGRESS

- 3.1 Faculties must ensure that they implement the University's 12 supervisions a year (for full-time PGRs) and six supervisions a year (for part-time) which includes a Mid-Year Monitoring (MYM) Review to be held in month 5 of each academic year, from the date of initial registration), in addition to an Annual Monitoring and Progression (AMP) meeting (to be held in month 9 of each academic year, from the date of initial registration) for all their postgraduate research students (PGRs).
- 3.2 In accordance with the programme regulations candidates for most research degrees at the University of Hull are required to undertake and pass Postgraduate Training Scheme (PGTS) modules as a core requirement of their research degree. If candidates fail to engage with the PGTS or do not pass the required modules, this also constitutes unsatisfactory progress.



UNIVERSITY OF HULL

- 3.3 If a PGR's progress is deemed by the assessment panel, or supervisors to be unsatisfactory, the PGR must be issued with a Faculty Warning and required to attend an Emergency Progress Meeting. The PGR must be required to submit the work for the Emergency Progress Meeting one month (if full-time) or two months (if part-time) from the date of the Faculty Warning letter. The Emergency Progress Meeting must then take place within ten working days of the submission date of this work. If the PGR does not submit the requested work by the deadline given without an extension having been agreed then this should be considered an automatic fail.
- 3.4 If, following the Emergency Progress Meeting, the student's progress is now deemed to be satisfactory, no further action is required. If, on the other hand, the student is deemed to have made no, or only partial progress, a second Emergency Progress meeting must be called, supported by a University Warning, clearly stating what further improvements must be made to the student's work. If the PGR is in receipt of a scholarship this should be suspended. This must be clearly communicated to the student at the Emergency Progress Meeting.
- 3.5 The PGR must be required to submit all the work for the second Emergency Progress Meeting one month (if full-time) or two months (if part-time) from the date of the University Warning letter. The second Emergency Progress Meeting must then take place within ten working days of the submission date.
- 3.6 The outcome of Emergency Progress Meetings should be communicated to the Faculty and Doctoral College within 5 working days.
- 3.7 Failure to attend, or to submit requested work for, an Annual Monitoring and Progress Review or an Emergency Meeting is an automatic fail as, by non-attendance or non-submission of written work, the candidate is not able to demonstrate satisfactory progress.
- 3.8 Where a student's progress is deemed unsatisfactory following the Second Emergency Progress Meetings, one of the following options must be chosen:
- a) Transfer to a Master's programme (eg. M.Phil, M.Res, MSc, MA),
 - b) Recommendation of voluntary withdrawal from the doctoral programme,
 - c) Recommendation of Termination of Studies.

Faculty Warning

- 3.9 The Faculty Warning letter must clearly state what further work is required of the PGR to bring progress up to a satisfactory standard and provide a period in which this can be achieved in line with the timescales given in 3.3.
- 3.10 The Faculty Warning must be issued by a Graduate Research Director who is an *ex officio* member of RDC. The Doctoral College must be informed when any Faculty Warnings are issued.

University Warning

- 3.11 If a second Emergency Progress Meeting is required a request for a University Warning must be made to the Doctoral College by a Graduate Research Director who is an *ex officio* member of RDC,
Research Degrees: Termination of Candidature

Doctoral College

stating the grounds on which the Warning is based. The request must be accompanied by a copy of the Faculty Warning. Copies of the Warning must be provided to the candidate's supervisors, Head of Academic Unit and Dean.

- 3.12 The Warning must include details of the work which the Academic Unit considers the candidate needs to undertake to bring progress up to a satisfactory standard and provide a period in which this can be achieved in line with the timescales given in 3.4.
- 3.13 The issuing of a University Warning must be reported to the next meeting of RDC.

Termination of Candidature

- 3.14 A candidate's programme of study must not be terminated unless the candidate has been issued with, and failed to satisfy the terms of, a University Warning issued in accordance with the procedure above.
- 3.15 Where a candidate continues not to demonstrate satisfactory progress - as defined in a University Warning - the Faculty must request termination, stating the grounds for termination, within 5 working days of the Second Emergency Meeting. The request must be made by a Graduate Research Director who is an *ex officio* member of RDC.
- 3.16 A request for termination of candidature must be considered by the Graduate Research Director (GRD) designated by RDC (assisted by the Faculty as appropriate) who must interview the candidate (if available/possible) and should interview the candidate's supervisors. If the GRD supports the request they must make a recommendation to the Chair of RDC.
- 3.17 Where the Chair considers that the candidate's programme of study should be terminated the Secretary of RDC must inform the candidate in writing within five working days stating the reasons for the decision and the date on which it is effective. The Secretary must further inform the candidate of their right of appeal in accordance with the University's regulations governing academic appeals. Copies of the termination must be provided to the Head of Academic Unit and Dean.
- 3.18 The termination of candidature must be reported to the next meeting of RDC.

Transfer to Masters

- 3.19 Where a candidate for a PhD has received a University Warning in accordance with 3.11-3.13 above, and the Academic Unit considers that the candidate is making progress which indicates that they may be capable of achieving a Masters by Thesis, the Academic Unit may recommend that the candidate be transferred to Masters (normally an MPhil) as an alternative to termination of the programme of study. This may not be possible for a student studying on a Student visa. For PGRs in receipt of a University funded scholarship, supervisors should discuss the option of transferring to a Masters with the Doctoral College before this is agreed with the PGR.
- 3.20 Such recommendation must include such action as deemed necessary to enable the candidate to make satisfactory progress towards the Masters, and must be made to the GRD. On receipt of such a recommendation the Graduate Research Director must interview the candidate if available and

should interview the candidate's supervisors. If the Graduate Research Director supports the request they must make a recommendation to the Chair of RDC.

- 3.21 Where the Chair considers that the candidate should be transferred to the Masters the candidate must be informed in writing within three working days, stating the reasons for the decision. The Doctoral College, in consultation with the candidate and Academic Unit must ensure that the candidate's registration is amended and the revised end of prescribed period of study confirmed in writing.

4. ABSENCE WITHOUT GOOD CAUSE

- 4.1 A candidate must meet with their supervisors no less than twelve times per year if full time and no less than six times if part time. This includes the MYM, but excludes the AMP. Such meetings must take place no more than two months apart (full time) or four months apart (part time).

Faculty Warning

- 4.2 Where a candidate fails to meet with their supervisors for more than the period specified above, and the Academic Unit has reasonable grounds for believing that the candidate has ceased to undertake their studies, the candidate should be issued with a Faculty Warning giving the candidate no fewer than two and no more than 20 working days within which to re-establish meaningful contact with their supervisors. The Faculty Warning must advise the candidate that if they are unable to continue temporarily they must discuss with the supervisors the option to suspend studies for an agreed period.
- 4.3 The Faculty Warning must be issued by a Graduate Research Director who is an *ex officio* member of RDC.

University Warning

- 4.4 Where the candidate fails to re-establish contact as required by the Faculty Warning, a request for a University Warning must be made to the Doctoral College by a Graduate Research Director who is an *ex officio* member of RDC - through a person designated by the Head of Academic Unit (other than the candidate's supervisors), stating the grounds on which the Warning is based and providing a copy of the Faculty Warning. The University Warning must give the candidate no fewer than two and no more than 20 working days within which to re-establish meaningful contact with their supervisors. Copies of the Warning must be provided to the candidate's supervisors, Head of Academic Unit and Dean of Faculty. If the PGR is in receipt of a scholarship this should be suspended.
- 4.5 The issuing of a University Warning must be reported to the next meeting of RDC.

Termination of Candidature

- 4.6 A candidate's programme of study must not be terminated unless the candidate has been issued with, and failed to satisfy the terms of, a University Warning issued in accordance with the procedure above.



- 4.7 Where a candidate has not complied with the terms of a University Warning the Academic Unit must request termination stating the grounds for termination. The request must be made by the person designated by the Head of Academic Unit (being someone other than the supervisors of the candidate).
- 4.8 A request for termination of candidature must be considered by the GRD designated by RDC who should interview the candidate if available and should interview the candidate's supervisors. If the GRD supports the request they must make a recommendation to the chair of RDC.
- 4.9 Where the chair considers that the candidate's programme of study should be terminated the secretary of RDC must inform the candidate in writing within five working days stating the reasons for the decision and the date on which it is effective. The Secretary must further inform the candidate of their right of appeal in accordance with the University's regulations governing academic appeals and queries.
- 4.10 Copies of the termination of candidature must be provided to the Head of Academic Unit and Dean.
- 4.11 The termination of candidature must be reported to the next meeting of RDC.

5. FAILURE TO SUBMIT SUPERVISORY MEETING, MID -TERM REVIEW AND ANNUAL MONITORING PROCESS RECORDS, OR ATTEND THE MEETINGS

University's Formal Progress Monitoring Process

- 5.1 A candidate must engage with the University's Formal Progress Monitoring Process (formal supervisions, MYM and an AMP, each year of registration) and submit reports of formal meetings with their supervisors, no less than twelve times per year if full time, and no less than six times if part time.

Departmental Warnings

- 5.2 A departmental warning will be issued when a PGR fails to complete the following:
- To attend a scheduled supervisory meeting without giving adequate notice.
 - To submit reports for three consecutive scheduled monthly supervisory meetings.
 - To submit requested work for a supervisory meeting.
 - To attend a scheduled MYM without giving adequate notice.
 - To submit their completed MYM report within one month of the deadline.
 - To submit their completed AMP meeting report within one month of the AMP meeting,
 - To submit work by the specified deadline without sufficient prior notice (a week as minimum) for supervisory or MYM meetings.
- 5.3 For PGRs who receive a stipend from the University, the Departmental warning must include a notice that payments will be suspended if they do not fully comply with the terms of the Warning. The PGR must be given 20 working days to provide the missing report(s) or to attend a rescheduled supervisory meeting or MYM. If the PGR fails to comply then a Second Departmental Warning must

be issued, and if they are in receipt of a stipend this should be suspended. The Second Warning should give the PGR a further 20 days to comply.

- 5.4 If a PGR does not attend or fails to submit work for an AMP meeting, without giving advance notice (a week as minimum), this will automatically result in failure of the AMP. Such cases should be considered under Section 3: UNSATISFACTORY PROGRESS, as above, and follow the course outlined there.
- 5.5 Where there is just cause for not being able to engage with the formal monitoring process, the GRD, Faculty, or Institute Research Office must be informed.

Faculty Warning

- 5.6 In cases where the PGR fails to provide the requested supervision or progression meeting records following Departmental Warnings in 5.2 and 5.3 above, then the PGR should be issued with a Faculty Warning giving them no fewer than two and no more than 20 working days with which to provide the requested documents. The Faculty Warning must be issued by a Graduate Research Director who is an *ex officio* member of RDC.
- 5.7 Where non-engagement with supervision and progression meetings is the issue, has exceeded the period specified above, and the Academic Unit has reasonable grounds for believing that the candidate has ceased to undertake their studies, a Faculty Warning should be issued under the processes for Section 4: Absence Without Good Cause, as above.
- 5.8 Staff providing administrative support to the Faculty or Institute Research Office will inform Heads of Department/Schools and GRDs when PGRs receive warnings so that the cause for concern can be followed up with the student and supervisor.

University Warning

- 5.9 If a PGR continues to fail to submit missing records following a Faculty Warning then a request for a University Warning must be made to the Doctoral College by a Graduate Research Director who is an *ex officio* member of RDC, stating the grounds on which the Warning is based and providing a copy of the Faculty Warning. Copies of the Warning must be provided to the candidate's supervisors, Head of Academic Unit and Dean of Faculty.

Failure to comply with the terms of the University Warning may result in the termination of the student's programme of study.

- 5.10 Departmental warnings will expire after 12 months. Faculty and University Warnings will remain on the student's record for the duration of their studies.
- 5.11 The issuing of a warning must be reported to the next meeting of RDC by the Secretary of the committee.

Termination of candidature

- 5.12 A candidate's programme of study must not be terminated unless the candidate has been issued with, and failed to satisfy the terms of, a University Warning issued in accordance with the procedure above.
- 5.13 Where a candidate has not complied with the terms of a University Warning the Academic Unit must request termination stating the grounds for termination. The request must be made by a Graduate Research Director who is an *ex officio* member of RDC.).
- 5.14 A request for termination of candidature must be considered by the GRD designated by RDC who should interview the candidate if available and should interview the candidate's supervisors. If the GRD supports the request they must make a recommendation to the chair of RDC.
- 5.15 Where the Chair considers that the candidate's programme of study should be terminated the Secretary of RDC must inform the candidate in writing within five working days stating the reasons for the decision and the date on which it is effective. The Secretary must further inform the candidate of their right of appeal in accordance with the University's regulations governing academic appeals and queries.
- 5.16 Copies of the termination of candidature must be provided to the Head of Academic Unit and Dean.
- 5.17 The termination of candidature must be reported to the next meeting of RDC by the Secretary of the committee.

6. CANDIDATE OUTSIDE THE PERIOD OF AN AGREED EXTENSION OR EXCEEDING THE MAXIMUM PRESCRIBED PERIOD OF STUDY

Candidates outside the period of an agreed extension

- 6.1 Where a candidate has completed the prescribed period of study and has not applied for an extension, or has fallen outside the period of an extension, and has also failed to respond to the Academic Unit's attempts to contact them, the Academic Unit can request termination of the PGR's studies stating the grounds for termination and providing evidence of any attempts to contact the candidate.
- 6.2 A request for termination of candidature must be considered by the GRD designated by RDC who should interview the candidate if available and should interview the candidate's supervisors. If the GRD supports the request they must make a recommendation to the chair of RDC.
- 6.3 Where the chair considers that the candidate's programme of study should be terminated the secretary of RDC must inform the candidate in writing within five working days stating the reasons for the decision and the date on which it is effective. The Secretary must further inform the candidate of their right of appeal in accordance with the University's regulations governing academic appeals and queries.

6.4 Copies of the termination of candidature must be provided to the Head of Academic Unit and Dean.

6.5 The termination of candidature must be reported to the next meeting of RDC.

Exceeding the maximum prescribed period of study

6.6 The University reserves the right to immediately terminate the programme of study for any candidate who has exceeded the maximum period of registration as defined in the regulations of the relevant programme (see Programme Regulations here).

6.7 The decision to terminate a candidate's programme shall be made by the Chair of the Research Degrees Committee, who shall be the final arbiter, on the recommendation of the Head of Academic Unit and relevant Graduate Research Director.

6.8 Where the Chair considers that the candidate's programme of study should be terminated the Secretary of RDC must inform the candidate in writing within five working days stating the reasons for the decision and the date on which it is effective. The Secretary must further inform the candidate of their right of appeal in accordance with the University's regulations governing academic appeals and queries.

6.9 Copies of the termination of candidature must be provided to the Head of Academic Unit and Dean.

6.10 The termination of candidature must be reported to the next meeting of RDC by the Secretary of the committee.

Version Control

Version	Author	Date approved	Relevant sections
V1 09	Lisa Tees	NA	Migrated to new template
V2 00	Doctoral College	Oct 2021	Adds section 5: FAILURE TO SUBMIT SUPERVISORY MEETING, MID-TERM REVIEW AND ANNUAL MONITORING PROCESS RECORDS, OR ATTEND THE MEETINGS
V2 01	Doctoral College	Sept 2022	<p>Section 1.1 and 1.2 explains what an Academic Unit means</p> <p>Adds in 1.3 FAILURE TO SUBMIT SUPERVISORY MEETING, MID-TERM REVIEW AND ANNUAL MONITORING PROCESS RECORDS, OR ATTEND THE MEETINGS</p> <p>Section 3.1. Clarifies the number of supervisory meetings for part-time PGRs, and clarifies that supervisory meetings are in addition to the AMP, but include the MYM.</p> <p>Section 3.1 Changes Academic Unit Warning to Faculty Warning Student changed to PGR throughout the document</p> <p>3.5: changes Head of Academic Unit to Head of Department, School or Institute.</p>

			<p>3.10: substitutes GRD for PGRD</p> <p>3.13 Transfer to Masters. Additional text inserted: For PGRs in receipt of a University funded scholarship, supervisors should discuss the option of transferring to a Masters before this is agreed with the PGR.</p> <p>4.1 clarification that the number of supervisory meetings that PGRs are required to attend each year includes the MYM, but excludes the AMP</p> <p>Section 5.1 Addition of sub-headings Supervisory meetings; Mid-Year Monitoring (MYM) and Annual Monitoring and Progression (AMP) for clarification</p> <p>5.1 Changes 6-month review to MYM and Annual Monitoring Process to AMP</p> <p>5.1 a) changed wording so that the first Department Warning includes a warning to PGRs in receipt of a scholarship will receive a warning that their stipend will be stopped.</p> <p>5.1 a) Stipend to be stopped after second Departmental Warning</p>
--	--	--	---

			<p>5.1 b) changed to make consistent with 5.1 a)</p> <p>5.1 c) clarified that paperwork should be received within one month of the AMP meeting taking place.</p> <p>5.1 c) changed to ensure consistency of process with 5.1 a)</p> <p>5.1 d) added that failure to attend AMP without prior notice automatically results in failure of AMP and Faculty Warning.</p> <p>5.1 e) amended to ensure consistency of process with 5. a) and b)</p> <p>5.1 f) GRD substituted for PGR Director.</p> <p>5.4 Escalation: section amended to ensure consistency with process and removal of second Faculty Warning.</p> <p>5.4, 5.5, 5.6, 5.8: removal of reference Institute Warning</p> <p>5.7 GRD substituted for Directors of PGR</p>
V2 02	Doctoral College	Jan 2023	3.1 Reduction of period between first EMP and second EMP from 3 months to 1 month for

			<p>FT PGRs; and from 6 months to 2 months for PT PGRs.</p> <p>3.3 Reduction of period for PGRs to bring progress up to standard following Faculty Warning from min. of 3 months to 1 month for FT PGRs; and from 6 months to 2 months for PT PGRs.</p> <p>3.6 Reduction of period for PGRs to bring progress up to standard following University Warning from min. of 3 months to 1 month for FT PGRs; and from 6 months to 2 months for PT PGRs.</p> <p>4.12 Amendment to regulation to allow Academic Units to request immediate termination for candidates who exceed the maximum period of study without requesting an extension. Removes requirement to wait a year.</p> <p>5.9 Sentence amended to clarify that DC reports the issuing of university warnings to RDC.</p> <p>5.15 Sentence amended to clarify that DC reports Termination to RDC.</p>
--	--	--	---

V2 03	Doctoral College	June 2023	<p>1.4 c) sentence changes to lower case for uniformity.</p> <p>Section 3 amended throughout to clarify timescales for submission of work for EMPs and Warnings, and to specify that GRDs must request Warnings and terminations.</p> <p>3.2 adds notice that failure of core PGTS modules could be considered grounds for unsatisfactory progress.</p> <p>4.2 Amended to reference Faculty Warning.</p> <p>4.3-4 Amended to specify that GRD must issue Faculty Warnings and request University Warnings. Timescales for Warnings also clarified.</p> <p>Section 5 restructured to ensure clarity in the various routes to termination described in this section and the role of the GRD in issuing and requesting Warnings.</p> <p>Section 6 added in entirety.</p>
-------	------------------	-----------	---