



## **PROCEDURAL GUIDELINES FOR THE UPGRADING OF AN MPhil REGISTRATION TO THE PHD**

[EXTRACTED FROM THE REVISED MANUAL OF PROCEDURES FOR GRADUATE DIPLOMAS AND DEGREES 2016]

### **Upgrading of Registration (Reg 1.40)**

29. The procedure for upgrading of registration shall be as follows:

- a) The student should first consult his/her Supervisor and then write to the Senior/Assistant Registrar, through the Supervisor and the Head of Department/Unit or Director of Institute/Centre (hereafter "Head"), formally seeking an upgrade of his/her registration. The Dean of the Faculty or his/her nominee should be copied on all correspondence.
- b) The Senior/Assistant Registrar will seek a recommendation from the Head of Department, advising him or her of student's eligibility for the upgrade. The Dean should be copied on all correspondence.
- c) If the Head of Department is the student's Supervisor, he/she must delegate his/ her responsibilities as Head in this process to a senior academic colleague in the Department/Institute/ Centre/Unit.
- d) If the Head of Department is in agreement with the student's request to upgrade, he/she should consult with the student's Committee of Advisors, other Departmental colleagues and the Chair of the appropriate Faculty Committee to formulate an Upgrade Assessment Committee all normally chosen from the academic staff of the University.

#### **The Upgrade Assessment Committee shall comprise:**

- i. the Chief Supervisor(s),
- ii. at least two independent Assessors, and
- iii. an independent Chair.

Assessors should therefore be chosen on the basis of their knowledge and experience at the appropriate level in the area of the student's research. One of the assessors may be drawn from outside the University community in the appropriate circumstances.

- e) The Head of Department shall submit the recommendations for the Upgrade Assessment Committee to the Chair of the Campus Committee for approval.
  
- f) Once approval has been given for the composition of the Upgrade Assessment Committee, the designated Chair shall ask the student to provide a copy of his/her Upgrade Proposal for each of the Assessors, and set a mutually agreed date for the oral presentation by the student of:
  - i. his/her report on the work done and accomplishments to date under the MPhil registration;
  - ii. his/her proposal to upgrade the work to the PhD beyond the MPhil level.
  
- g) If the Head of Department is not in agreement with the student's request to upgrade, he/she should submit comments on the matter to the Chair, Campus Committee, copying them to the Supervisor(s). The Chair, Campus Committee, will deliberate and decide whether to allow the upgrade to take place. If approval is not granted, the Senior/Assistant Registrar shall inform the student of the decision, copying the Head of Department and Supervisor(s).
  
- h) The precise form of material considered as part of the Upgrade Proposal will vary across Departments and disciplines so the student should draft the Upgrade Proposal in consultation with his/her Supervisor(s). The Upgrade Proposal should be no more than **100 pages**. Whilst it is recognised that the exact nature of the Proposal submitted by the student will depend on the discipline, it should cover at least the following components (not necessarily as discrete items):
  - i. An introduction giving the context of the work;
  - ii. A literature review;
  - iii. A research question and hypothesis;
  - iv. A section on methodology;
  - v. A substantial piece of work towards the thesis objectives;
  - vi. A plan and timetable for the remainder of the work; and
  - vii. A bibliography.

- i) The criteria for upgrade to PhD status include:
  - i. Commitment to pursuing research at The UWI leading to the PhD degree;
  - ii. Satisfactory progress in the work so far;
  - iii. Demonstration of sufficient awareness of the context of the work and completion of such tasks as a review of relevant literature and a bibliography;
  - iv. Ability to formulate a viable hypothesis or research question that could be completed within the normal time frame of the PhD programme;
  - v. Satisfactory technical and generic skills development;
  - vi. Formulation of a viable plan for the work;
  - vii. Consideration of the research ethics dimensions of the project, and application for ethics approval from the relevant Research Ethics Committee if appropriate;
  - viii. English Language proficiency, both written and spoken.
- j) The upgrade will consist of at least a 30-minute oral presentation of the work and proposal by the student, followed by questions posed to the student by the Assessors. After the presentation the Chair will meet with the Assessors to deliberate on whether the student has met the criteria as outlined.
- k) The Upgrade Assessment Committee is to recommend either:
  - i. **Pass** – upgrade of registration to PhD; or
  - ii. **Adequate** – subject to revision of the Upgrade Proposal to the satisfaction of the Supervisor within two (2) months; or
  - iii. **Inadequate** – Revise and resubmit the Upgrade Proposal for second and final attempt at the upgrade seminar within six (6) months; or
  - iv. **Fail** – MPhil to be completed within a specified time.
- l) The Chair of the Upgrade Assessment Committee shall prepare a written joint report on the outcome **within two (2) weeks** of the upgrade. This report is to be signed by all members and submitted to the Senior/Assistant Registrar for the deliberations of the Campus Committee.
- m) If the Upgrade Assessment Committee cannot reach a consensus, independent written reports must be prepared by the Chair and the Assessors each with a clear recommendation about the Upgrade and submitted to the Senior/Assistant Registrar.

- n) The Chair of the Campus Committee shall then submit the report(s) of the Upgrade Assessment Committee along with a recommendation to the Chair of the Board for consideration.
  
- o) The Senior/Assistant Registrar shall inform student of the decision of the Board, copying the Head of Department and Supervisor(s).

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*Extracted by:  
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