Faculty of Business

The Faculty Protocol for the implementation of the University's Code of Practice for Research Degree Candidatures with effect from 2017/18

Note to Readers: This document sets out the University's Code of Practice for Research Degree Candidatures which is relevant to all University Faculties. Where arrangements for the implementation of the Code, specific to the Faculty of Business, are described in more detail these are shown in shaded boxes.

Within this Code, Deans may delegate some of their responsibilities to the Faculty Director of Postgraduate Research Studies, to Heads of Schools and / or Postgraduate Research Tutors within the Faculty.

1.	**General**
	Postgraduate researchers (PGRs) are an essential part of the research activity at Leeds. Most candidates are early career researchers who will receive relevant research and generic training to enable them to enter a variety of fields upon completion of their degrees. However, the University also recognises that some PGRs will already have significant skills and research experience. This Code sets out a framework of shared responsibilities between the University, supervisors and PGRs with the aim of delivering successful research degree programmes according to national and international expectations and to inspire all our PGRs to develop their full potential.
	This Code of Practice also outlines for PGRs the minimum standards they can expect in connection with the supervision of their research degree study at the University of Leeds. Deans of Faculties are responsible for the provision of the resources to implement the University Code of Practice. The University Code will be supplemented by Faculty Protocols covering the practices of individual Faculties. More detailed information on arrangements may also be available, in some cases, at School level. Faculties must ensure that both the University Code and Faculty Protocols for its implementation are made available to PGRs and academic staff.
	The Faculty of Business Protocol will be made available to all Postgraduate Researchers via the 'LUBS Graduate School' organisation on Minerva and to staff via the Faculty of Business staff intranet. It is jointly the responsibility of the Faculty Director of Postgraduate Research Studies (Director of the LUBS Graduate School) and the Graduate Education Service Manager (Graduate School Manager) to ensure that it is available via these channels.
2.	**Management Structure**
2.1	The Dean of Postgraduate Research Studies maintains strategic oversight of the PGR experience and works through the Graduate Board to develop policies that maintain and assure the academic standards of research degree awards and enhance the experience of PGRs.
2.2	It is essential that each Faculty should have in place an adequate management structure for handling PGR matters. Each Faculty has a Graduate School Committee and the Faculty Deans may allocate responsibilities via the Faculty Graduate School Committee and the Faculty Director of Postgraduate Research Studies to Schools or to other appropriate units within the Faculty (see note 1). There should be at least one Postgraduate Research Tutor (see note 2) in each School who (subject to the overall responsibility of the Faculty Director of Postgraduate Research Studies and the Head of the School) has general responsibility for co-ordinating admission,

pastoral care, recording and monitoring of progress and attendance of PGRs (with absence being reported) and for liaison with Postgraduate Research and Operations. In some cases, the Postgraduate Research Tutor may report to a School Postgraduate Research Committee or other formal body within the School as well as the Faculty Graduate School Committee. There must always, however, be a clear and effective method for report and discussion of individual matters and matters of policy (see note 3) which must be described in the relevant Faculty Protocol for the implementation of the University Code of Practice for research degree candidatures.

Arrangements within the Faculty of Business for handling PGR matters

Within the Faculty the Director of the Graduate School acts as the Postgraduate Research Tutor and chairs the Faculty Graduate School Committee (see below). The Director is responsible to the Dean of the Business School and to the Graduate Board. The Director is supported by the Deputy Director who takes specific responsibility for admissions, scholarships and PGR progression and suspension/extension requests.

In terms of administrative support, the Graduate Education Service Manager (Graduate School Manager) oversees the programme administration and is supported by the Research Degrees Programmes Officer, Research Degrees Programmes Officer (Student Support), Research Degrees Admissions Officer and Research Degrees Admissions Assistant. Current post holders can be found on the Business School Intranet. The core staff can be found in the Graduate School office.

Faculty Graduate School Committee
Membership of this committee is as follows:

- The Dean (ex-officio)
- Director of the Graduate School (PGRT) (Chair)
- Deputy Director of the Graduate School (PGRT)
- Pro-Dean for Research and Innovation
- Pro-Dean for Learning and Teaching
- LUBS representatives on the Graduate Board sub-committees
- Research Degrees Divisional Directors
- PGR representatives (for policy matters only)

In attendance are:
- Faculty Education Service Manager
- Graduate Education Service Manager (Graduate School Manager)
- Research Degrees Programmes Officer
- Research Degrees Programmes Officer (Student Support)
- Research Degrees Admissions Officer
- Research Degrees Admissions Assistant

The Director of LUBS Graduate School is responsible for co-ordinating admissions, oral examinations, pastoral care, recording overall progress of Postgraduate Researchers and liaison with Postgraduate Research and Operations. Postgraduate research degree matters are reported to the Faculty Graduate School Committee by the Director.

The Faculty Graduate School Committee's responsibilities include:

- encouraging good practice and disseminating information about good practice in research degree programmes;

	• establishing and monitoring arrangements for generic skills training and other support courses; • sending forward recommendations to the Graduate Board on the proposed development of new research degree programmes and amendment of existing programmes; • reviewing and monitoring the performance of postgraduate research degree candidates; • reports a standing item to the Faculty Research and Innovation Committee Progress of individual Postgraduate Researchers is the responsibility of their supervisor(s) who report to the Director of the Graduate School. The Divisional Directors support Postgraduate Researchers being admitted into their Division and hold an overview of the needs of those Postgraduate Researchers currently studying within their Division.
3.	**Admission**
3.1	The minimum requirements for entry to research degree study are stated on the University web site as well as in the Ordinance and Regulations for research degrees. Applications for admission to postgraduate research will be considered under arrangements specified by the Faculty Graduate School Committee. The consideration of applications will normally be undertaken by the Postgraduate Research Tutor and potential supervisor. An acknowledgement should be sent on receipt of an application and the Postgraduate Research Tutor should ensure that the application is considered expeditiously. At least two members of staff will be involved in the consideration of each application which meets the minimum entry requirements (see notes 4(a) and (b)). Where practicable, an interview should take place for those applicants for whom an offer of admission is under consideration. The suitability and qualifications of all applicants should be carefully considered in the light of the entry requirements for the particular degree programme and other requirements of the University (eg English language requirements). Appropriate expertise for supervision and adequate resources must be available (e.g. equipment, library collections, and computing facilities and software) for the proper conduct of the research and applicants should be accepted only where appropriate expertise for supervision and adequate resources are available. Arrangements must be in place to consider any potential ethical issues.
	Some programmes in the Faculty have entry requirements above the University minimum. The minimum entry requirements for these programmes are as follows: **PhD/MPhil** Applicants should hold a British Masters degree (or equivalent degree from an overseas university), or equivalent professional qualification (NARIC is used to check equivalence): • with a minimum average score of 60 per cent (or equivalent); and • in an appropriate academic discipline. Appropriate academic disciplines include those directly related to the subject specialisms of the Business School (accounting and finance, economics, international business, management, marketing and work and employment relations) or providing skill sets which are particularly relevant to the PhD research project (for example, social research methods, linguistics, mathematics, statistics, psychology, etc.). Equivalent degrees from overseas can be found on the Business School website.

All programmes

Applicants should also meet the Faculty's standard English language requirements, which exceed the University minimum (see 3.3 below).

The applicant is expected to provide the following documentation with their application:

- Postgraduate research application form.
- Research proposal. This document is essential in identifying potential supervisors. An electronic copy of the proposal is required. Guidance on structure and content of a research proposal are given on the website.
- Two references. The Faculty requires letters of reference from two people that have taught the applicant at Masters (or Bachelors) level and are able to comment on the applicant's academic ability and suitability for study at PhD level. References must be written on headed paper or bear the institution's stamp / logo, or typed and stamped on the University of Leeds Referee's Report. The Faculty asks that testimonials are not included with the application material. Applicants should contact their referees to request a reference. The Faculty does not normally contact referees on behalf of the applicant.
- Certified copies of qualification certificates for all higher education and professional qualifications.
- Certified copies of academic transcripts for all higher education qualifications.
- English Language Certificate. Where applicable, the Faculty requires evidence that applicants meet the language requirements.
- A completed 'Locating your research' form which can be downloaded from the Faculty website. This asks for key details which will help determine the specific area of interest within a particular division.

Applications for admission to the Faculty of Business are received in the Graduate School Office and are considered initially by the Research Degrees Admissions Assistant or Research Degrees Admissions Officer. Where candidates meet entry requirements, they are then allocated for full academic review to Research Degree Divisional Directors and potential supervisors. As part of the academic review process, all research proposals are put through plagiarism detection software. Applications will be rejected where plagiarism is determined and cases are reported to Postgraduate Research and Operations.

Key considerations during the full academic review relate to the relevant research expertise and availability of staff to supervise the identified research topic. Part of the Research Degrees Admissions Officer's role is to monitor the progress of individual applications and ensure that any delays are brought to the attention of the Deputy Director of the Graduate School or PGRT. The Deputy Director of the Graduate School or PGRT reviews all decisions and potential offers made by divisions before they are approved.

It is normally expected that a face-to-face interview should take place between the prospective PGRand the potential supervisors or relevant academics in the Faculty and at a minimum, a discussion should be had with the applicant on their application for study. In certain circumstances such as when a visit to Leeds is impractical, this might take place by other means (e.g. telephone/or video conference/ voice over internet protocol [VOIP] or face to face online communication e.g. Skype, FaceTime).

The Faculty operate application deadlines for some courses, which are advertised on the Business School website.

3.2	Accreditation for Prior Learning (APL) will be considered in respect of the taught components of a research degree programme only. Applications will normally be made at the time of admission and considered by the relevant Faculty/School in accordance with the procedure set out in the programme of study specification . Graduate Board will be advised of any decisions taken. APL is not permitted, in any circumstances, against the research thesis or thesis preparation components.
3.3	Where the applicant's first language is not English, steps should be taken to ensure (for example from the results of tests taken by the applicant) that he or she has a sufficient grasp of the language to embark on the research, bearing in mind the demands of the discipline and the University's Regulations (see note 5). Where PGRs have satisfied the English language requirements, but further English language training needs are identified after admission, it should be ensured that appropriate arrangements are made (see note 6) and these are included in the training needs analysis and training plan (see 4.3 (vi) and 4.6(i) below.
	A pass in an approved test in English is required for applicants whose first language is not English. The English language entry requirements for the Faculty exceed the University minimum. The minimum required scores for the main approved tests are below: • IELTS (academic). Scores of at least 6.0 or more in each section and an overall score of 7.0 are required. • TOEFL iBT. The Faculty requires an overall test result of 100 with the following minimum scores required in each of these sections: Listening 21, Reading 21, Speaking 23, Writing 22. For split-site PGRs, the following English Language requirements apply: • IELTS (academic). Scores of at least 6.5 or more in each section and an overall score of 7.0 are required. • TOEFL iBT. The Faculty requires an overall test result of 100 with the following minimum scores required in each of these sections: Listening 22, Reading 22, Speaking 24, Writing 23. Applicants must provide evidence that their English language ability satisfies the Faculty's minimum entry requirements for study prior to registration.
3.4	Formal offers of admission, which will include any conditions to be met prior to entry, can only be made by Postgraduate Research and Operations acting on behalf of the University's Graduate Board. Postgraduate Research Tutors should make clear recommendations on matters such as the need for preliminary or additional courses and the charging of bench fees so that these can be specified in the offer and brought to the attention of the PGR and sponsors where relevant (see note 7). A summary of the University Code of Practice on Research Degree Candidatures will be drawn to the attention of candidates with their offer of admission.
4.	**Supervision**
4.1	It is the responsibility of the Dean of the Faculty, the Faculty Director of Postgraduate Research Studies or the Head of the School (see note 8) to recommend suitable supervisors for appointment by the Graduate Board (see note 9). Where co-supervisors are appointed, one is to be identified as the main supervisor. The Graduate Board requires members of staff to attend a course on research degree supervision organised by the University before being recommended for appointment as a supervisor.

4.2	Supervisors will be provisionally appointed at the time that a PGR receives a formal offer of admission by the University, and this will be confirmed or, where appropriate, alternative arrangements made when the PGR registers. Where only one supervisor is appointed for a PGR an Advisor will also be appointed by the Head of School (see note 8). It is normally the responsibility of the Head of the School to ensure that no supervisor is overloaded with supervisory responsibilities and the position of individual members of staff should be reviewed regularly. Where this responsibility rests elsewhere, the position must be clearly explained in the Faculty Protocol (see note 10).	
	The responsibility for ensuring that no supervisor is overloaded with supervisory responsibilities rests with the Dean. The Dean of the Business School is responsible for recommending suitable supervisors, via the Director of LUBS Graduate School, to the Graduate Board. Supervision is normally arranged at the same time as the offer of a place. The preferred supervision model is that each Postgraduate Researcher has a supervision team of two supervisors (in some cases there may be three supervisors or sometimes an additional advisor). In some situations, it may not be possible to appoint a second supervisor. In such situations an internal advisor should be appointed. In the absence of a specific nominee, the Director of LUBS Graduate School or PGR Divisional Director will be the internal advisor. It is normal practice for the Faculty Graduate School Committee to review annually statistics which include the number of Postgraduate Researchers allocated to each supervisor.	
4.3	The responsibilities of a supervisor may be summarised as follows:	
	(i)	ensuring that the PGR is introduced to the facilities of the Faculty or School and the University that are relevant to the research and that he or she is fully aware of relevant Health and Safety regulations (see note 11);
	(ii)	assisting the PGR in defining the topic which is to be tackled in the course of the research. It is vital that this should give sufficient scope for investigation appropriate to the degree, but not be so large a topic that it cannot be mastered within the normal period of the candidature. Where the research is sponsored by an outside body, the terms of such sponsorship must be carefully considered;
	(iii)	assisting the PGR to clarify the research question which the study seeks to address, and to establish details of the research programme, such as resources required and, where appropriate, the experimental design;
	(iv)	ensuring, in consultation with the Head of School (see note 8), that the PGR has access to the necessary facilities for the research;
	(v)	approving a timetable of work and endeavouring to see that it is followed. Supervisors should emphasise to PGRs that the University attaches great importance to the timely completion of research;
	(vi)	conducting, with the PGR, a training needs analysis within one month of commencement of study and agreeing a training plan;
	(vii)	reviewing the training plan regularly (at least annually) and assisting the PGR in identifying other training needs and in reflecting upon their personal development, for instance by reference to the Statement on Learning Outcomes;

	(viii)	where the programme contains subject specific modules, directing the PGR through the relevant programme of courses;
	(ix)	seeking to ensure that the PGR receives available research training (e.g. by attendance at courses) which may be necessary or appropriate in the individual case;
	(x)	making PGRs aware of any relevant Research Governance requirements and ethical procedures and ethical review;
	(xi)	making PGRs aware of the University's Policy on Safeguarding Data – Storage, Backup and Encryption ;
	(xii)	agreeing a supervisory programme with the PGR and arranging regular meetings with the PGR throughout the programme of study (including the overtime period) (see 4.8 and 4.9 below);
	(xiii)	ensuring that, where appropriate, the PGR is aware of the Faculty/School arrangements for reviewing transfer to full degree registration and that appropriate guidance on preparing for transfer is provided;
	(xiv)	preparing regular reports on the PGR's progress (see 6.1 below);
	(xv)	Ensuring, in partnership with the PGR, that there are written records of formal supervisory meetings on the University's system for maintaining a record of the research degree candidature (Graduate Record of Achievement and Devlepment);
	(xvi)	commenting within a reasonable time on written work submitted by the PGR;
	(xvii)	otherwise advising generally on the research and preparation of the thesis;
	(xviii)	alerting the Postgraduate Research Tutor, in a timely manner, to any situation where it may become necessary to request a suspension or extension of study for a PGR;
	(xix)	reporting to the Postgraduate Research Tutor any suspected instance of research misconduct including plagiarism;
	(xx)	ensuring that the PGR receives written feedback on the assessment of progress, and to draw to the attention of the PGR problems when they arise, (where necessary this should be done in writing);
	(xxi)	taking action to bring to the attention of the Postgraduate Research Tutor any concerns about a PGR's unsatisfactory progress;
	(xxii)	reading and commenting on the whole of the draft thesis prior to submission provided that it is made available by the PGR in reasonable time. It is essential that a timetable for submission of the draft thesis is agreed with the PGR in advance of the maximum time limit which allows the supervisor a reasonable length of time to carry out this duty and for the PGR to act on any comments received. Any planned periods of absence by the supervisor from the University should be taken into account;

	(xxiii)	keeping the Head of School informed of any absences likely to impact upon time available for supervisory duties;
	(xxiv)	sending forward recommendations for the appointment of Examiners to the Faculty/School Postgraduate Research Tutor;
	(xxv)	ensuring that the PGR is aware of the University arrangements for the examination of research degree theses; and the time limits for submission and ensuring that the PGR receives appropriate guidance about the oral examination including, where requested, a "mock viva";
	(xxvi)	reporting to the Faculty/School when there has been no contact with an individual PGR or when there has been a pattern of absences which is affecting the PGR's progress or causing concern for the PGR's well-being in accordance with the University's attendance monitoring policy;
	(xxvii)	Ensuring that the PGR is aware of the University Publication and Research Data Management policies and knows that these apply to publications in press at the time the PGR leaves the University.

Supervisors are also responsible for:

(xxviii) arranging, in conjunction with the Director of LUBS Graduate School (through the Research Degrees Programmes Officer), that a transfer panel comprising suitable independent assessors takes place according to the laid down university time schedule;

(xxix) ensuring that requests for Postgraduate Researchers to carry out field work, whether in the UK or abroad, are brought to the Graduate School Office for approval;

(xxx) discussing with their Postgraduate Researchers any plans for presenting at conferences and for publishing in any form that might arise in relation to their research studies;

(xxxi) advising so that in published work arising from the Postgraduate Researcher's research studies, appropriate recognition is made of the contribution by all parties involved;

(xxxii) discussing their Postgraduate Researcher's PGR Fund and best use of the fund to support the timely completion of the PhD research.

4.4	In circumstances where supervisors leave the University they must ensure that, prior to their departure, the Head of School is notified. In this situation, the Head of the School (see note 8) must satisfy himself / herself that alternative and acceptable supervision arrangements are recommended to the Graduate Board.
4.5	Where the supervisor is likely to be absent from the University for an extended period, the Head of School (see note 8) should ensure that some appropriate arrangements are made for advising the PGR and that the progress of a PGR is not detrimentally affected by the absence of the supervisor. Where the absence exceeds two months, arrangements will normally be put in place to identify an alternative supervisor or co-supervisor to ensure the continuity of supervision is maintained. Where it is not immediately possible to find an alternative supervisor, an advisor may be appointed in the interim. This may be the PGR Divisional Director to ensure continuity of supervision until an alternative supervisor or co-supervisor is found.

4.6		PGRs have responsibilities as follows:
	(i)	To reach agreement with the supervisor on an appropriate training plan;
	(ii)	to carry out research effectively, to attend the University, to present work regularly and to an adequate standard in an appropriate form and against an agreed timescale taking into account any holiday entitlement;
	(iii)	to prepare issues they wish to discuss at supervision meetings and to seek out the supervisor as problems arise;
	(iv)	to agree to a supervisory programme, to maintain regular contact with their supervisor(s) and to attend for formal supervision meetings throughout the programme of study (including the overtime period) (see sections 4.8 and 4.9 below);
	(v)	ensuring, in partnership with the supervisor, that there are written records of formal supervision meetings on the University's system for maintaining a records of the research degree candidature (Graduate Record of Achievement and Development);
	(vi)	to submit, when requested, regular written summaries of overall progress to their supervisors or, where appropriate, Research Support Group, Postgraduate Research Tutor or Head of School;
	(vii)	to comply with normal working arrangements in the School;
	(viii)	to discuss with their supervisor whether any teaching work undertaken will adversely affect the time available for the conduct of the research and make appropriate arrangements;
	(ix)	to comply with Health and Safety requirements;
	(x)	to comply with any ethical requirements or appropriate Research Governance;
	(xi)	to comply with the University's Policy on Safeguarding Data, Storage, Backup and Encryption;
	(xii)	to take measures to attend appropriate training courses, personal development programmes and research seminars in consultation with their supervisor;
	(xiii)	to be familiar with the regulations and procedures of the University relevant to research degree candidatures and to comply with them;
	(xiv)	to ensure that they complete registration and make payment of fees at the appropriate times;
	(xv)	to make use of relevant facilities provided by the University and abide by the regulations specified for the use of these facilities;
	(xvi)	to assist the University in keeping their personal record up to date by cooperating fully with administrative procedures;
	(xvii)	to promptly draw to the attention of the supervisor or Postgraduate Research Tutor when there is a situation where it may be necessary to

		request a suspension or extension of study. If appropriate, documentary evidence should be provided (eg medical certificate);
	(xviii)	to consult with the Postgraduate Research Tutor or appropriate senior member of staff within the Faculty or School, in confidence, if they have serious concerns about the PGR/supervisor relationship;
	(xix)	to discuss with the supervisor, in good time where possible, should they wish to be away from their research activity for a substantial period (eg in the case of a full-time PGR for more than five working days);
	(xx)	to make available to the supervisor for comment, within an agreed timescale, the whole of the draft thesis prior to submission;
	(xxi)	To ensure that at all times they observe high standards of academic conduct and integrity and are aware of the consequences of failure to observe the University's requirements.
	(xxii)	To comply with the requirements of the University Publication and Research Data Management policies, noting that these will also apply to publications in press at the time the PGR leaves the University and to any associated data.
	PGRs are also required to: (xxiii) discuss with their supervisors any plans for presenting at conferences and for publishing in any form that might arise in relation to their research studies; (xxiv) appropriately recognise the contribution of their supervisors, and any other parties, in published work arising from their research studies; (xxv) engage with opportunities to present their work at divisional and Faculty levels, with a minimum of one such presentation per year; (xxvi) participate in the Annual Doctoral Conference, as appropriate. First years are encouraged to produce a poster and second and third years are encouraged to present an oral paper at least once during their doctoral studies. (xxvii) keep their record on GRAD up-to-date, including details of their supervision meetings, training and conferences attended. (xxviii) report to the Graduate School Office any off-campus fieldwork, conference attendance, meetings or training and complete a risk assessment as appropriate, as described in the University's Risk Management of Fieldwork standard; (xxix) discuss with their supervisors their PGR Fund and best use of the fund to support the timely completion of their PhD research.	
4.7	PGRs are encouraged to keep Personal Development Plans.	
4.8	The requirement is that a full-time PGR will have a minimum of 10 supervision meetings (see note 12) a year. The relevant number for part-time PGRs is 6 a year. Whilst the pattern and timing of meetings will vary according to the precise stage of the candidature and between subject areas it is expected that meetings will be held regularly throughout the standard period of study with gaps between meetings of no more than 8 weeks for full-time PGRs (or 12 weeks for part-time PGRs) (see note 13). Faculty Directors of Postgraduate Research Studies are encouraged to specify	

	the minimum number of meetings required in the relevant areas subject to meeting the minimum requirements specified by the University in this Code. Notes should be kept of all formal supervision meetings.
4.9	In order to keep the research on course for submission before the maximum time limit, it is expected that supervisory contact will continue during any overtime period after the end of the standard period of study and that the supervisor will continue to monitor progress. For those in the overtime period the University appreciates that supervision meetings may be in the format of reading and commenting on draft chapters of the thesis prior to submission. Full-time PGRs will continue to be entitled to no less than 10 supervision meetings a year (and part-time candidates no less than 6 a year). The meetings must be recorded and may take place in a variety of forms (for example in face to face meetings when the PGR is in the UK or by other means such as video conferencing, telephone, Voice over Internet Protocol (VoIP) (eg skype) or email where appropriate). It is the responsibility of the PGR to provide the supervisor(s) with written drafts of the thesis for comment by the supervisor within an agreed timescale.
	The Faculty conforms to the standard University policy on the number of supervisory meetings and gaps between meetings, as outlined in the 'Faculty Protocol for Research Degree Candidatures for the implementation of the University's Attendance and Report Monitoring'. The notes of these meetings must be logged on GRAD
5.	**Supervisory Support**
5.1	There are 2 main models of supervision :

	Model 1:	Co-supervision
		Either (a) one main supervisor together with a Research Support Group of between 2-3 (which may include individuals from outside the School or external to the University); the Research Support Group is advised to meet with the PGR every 6 months to review progress and to discuss this with the PGR.
		or (b) one main supervisor with a co-supervisor(s) (who may be external to the University).
	Model 2:	One main supervisor together with a Mentor/Advisor (who may also attend supervision meetings and must be a member of staff of the University) from whom advice might be sought and to whom problems might be referred.

	The model of supervision adopted for a particular candidate may change during the period of study.
	Model 1b is in operation within the Faculty of Business. As described in section 4, model 2 may be used in circumstances where a supervisor leaves the university or is likely to be absent for an extended period until such time as a replacement can be found.
5.2	Whatever model of supervision is adopted there should be a procedure in place for offering PGRs the opportunity to meet, at least annually, in the absence of the supervisor(s), with the Postgraduate Research Tutor or Head of School (see note 14) to review progress, discuss this with the PGR and to enable the PGR to comment upon the nature of the supervision received and to draw attention to any matters of

	concern. Where the Postgraduate Research Tutor/Head of School is the supervisor a nominee should be appointed. There should be a mechanism in place within the School/Faculty, which is clearly publicised, to enable PGRs to seek independent sources of advice when a PGR/supervisor relationship is not working well.
	The Faculty seeks to offer each Postgraduate Researcher the opportunity to meet with the Director of LUBS Graduate School annually without their supervisor being present. This is usually facilitated by the Research Degrees Programmes Officer who will arrange an opportunity for Postgraduate Researchers to book an individual meeting. In cases where the main supervisor is also the Director of LUBS Graduate School then the Postgraduate Researchers will be offered the opportunity to meet with the Deputy Director.
5.3	Regular reports should be made by the supervisor and by the appropriate supervisory support team on the PGR's progress as required in the Code of Practice.
6.	**Formal assessment and monitoring**
6.1	There should be regular written reports by the supervisor on the PGR's progress. As a minimum, there should be a report at the mid-point of the first year of the candidature (see note 15), at the transfer stage and at least annually thereafter. In the case of annual reviews the reports may be prepared by an independent assessor in consultation with the supervisor or by the supervisor depending on the practice adopted within the Faculty. The Reports should include a review of progress on the agreed training plan. Reports should be considered by the Faculty Graduate School Committee, the Postgraduate Research Committee or other formal body adopted by the Faculty or School. It is essential that the PGR should be given clear information in writing on the assessment of progress. Where progress is deemed to be unsatisfactory, the PGR should be interviewed by the Postgraduate Research Tutor and the supervisor and specific instructions and objectives given. The PGR should be advised that failure to meet those requirements may lead to a recommendation for the termination of the candidature.
	There should be regular reports by the supervisor on the Postgraduate Researcher's (PGR's) progress. As a minimum, there should be a report at the mid-point of the first year of the candidature (in the case of part-time Postgraduate Researchers this should be after nine months), at the transfer stage and at least annually thereafter. The Postgraduate Researcher should complete their part of the First Formal Progress Report, Transfer Stage Report and Annual Progress Monitoring Report first, before the supervisors. The Faculty of Business requires that annual end of year progress monitoring takes place for all PGRs. All full-time and part-time PhD/MPhil candidates and part-time MA by Research candidates in LUBS will be required to follow this process. Meetings between the PGR and supervisors should take place each year (post transfer stage), on or before the anniversary of the commencement of study, until submission of the thesis. The process will also involve individuals independent of the supervisors and PGR. In LUBS, the independent oversight will be via a Research Degrees Committee or equivalent body. In advance of the annual end of year progress monitoring meeting with their supervisors, all PGRs are required to submit: • The PGR section of the annual progress review form; • A piece of written work by the PGR, the content of which is agreed between the PGR and supervisor (as appropriate to the point the PGR has reached in his/her candidature), which will be used to assess academic progress;

		• A plan for completion of the research and the thesis within the remaining period of study (the plan should aim for the thesis to be completed within the standard period of study). After the annual progress monitoring meeting between the PGR and supervisors, the supervisor(s) will complete the annual progress review form. This is considered by the relevant progress committee within LUBS. The committee is comprised of at least two members, who will normally be independent of the supervision team and PGR. Progress Reports, Annual Progress Monitoring Reports and Transfer Reports are considered by the Director of LUBS Graduate School. Summary statistics arising from the reporting process are presented to the Faculty Graduate School Committee along with individual cases where necessary (details of the Faculty Graduate School Committees can be found on the Business School intranet).
6.2		Research candidatures which are intended to lead to a Doctoral award are subject to a process whereby the PGR is formally assessed and, if successful in the assessment, is 'transferred' to a specific degree category after an initial, provisional stage. The assessment at the 'transfer' stage is intended to identify whether the individual PGR and the research project have the potential for research at Doctoral level and also whether completion of a thesis within the standard period of study for the programme concerned is a reasonable expectation. PGRs are required to submit reports within a time scale prescribed by the School/Faculty, which are considered by assessment Panels which must comprise a minimum of two individuals and include at least one independent individual who has not been involved in the supervisory support arrangements for the PGR. These arrangements, however, do not preclude a member of the supervisory team from serving as a member of the assessment Panel. At least two members of an assessment Panel (including the independent assessor) should be from the same or from a cognate subject area or discipline to the work submitted by the PGR and at least one member must have previous research degree supervision or examination experience. The decision on transfer should be based on evidence as prescribed by the Faculty Protocol for the implementation of the Code of Practice. This must include the agreed training plan, record of training and information about skills development, ethical issues with the research and periodic reports by the supervisor(s). The PGR must provide a written submission which will include a planned schedule for the work and might also include a synopsis of the work already carried out, a sample chapter and other written or experimental work. The PGR must be interviewed by the assessment Panel and this should take the form of a viva voce examination. It is important that the University's prescribed time-limits for 'transfer' decisions are adhered to. These time limits are prescribed by the University for each doctoral programme of study and are published in the relevant programme of study specification on the University website. The decisions that may be made by transfer panels are:
	(i)	in the case of Provisional candidatures for Doctoral degrees or Postgraduate Research candidatures, transfer to Doctoral registration;
	(ii)	in the case of Provisional candidatures for the degree of PhD or Postgraduate Research candidatures, transfer to M Phil registration;
	(iii)	on the first occasion that the work is assessed, and provided that the University's prescribed time limit allow, deferral of a decision about transfer for a limited period to permit the work to be revised and then reassessed;
	(iv)	a decision that the PGR withdraw from a research degree candidature.

Research degree candidatures which are intended to lead to a doctoral award are initially registered in a provisional category of "Provisional PhD". By the end of the first year of study (24 months for part-time) the Postgraduate Researcher will go through the transfer process. If the supervisory team believe that, due to extenuating circumstances, a Postgraduate Researcher will not be ready for transfer and requires extra time, then they should discuss this with the Research Degree Programme Officer (Student Support) and Director of LUBS Graduate School before the end of the Postgraduate Researcher's first year. Normally the maximum extension that the Faculty allows for the first viva voce examination is three months, and this has to be approved centrally by the Director or Deputy Diretor of LUBS Graduate School making a case to the Graduate Board's Programmes of Study and Audit Group. This process will be managed by the Graduate School.

If the transfer is in doubt then the transfer panel can request further work to be carried out and submitted and, where necessary, hold a further viva voce. However, this will need to be discussed with the Director or Deputy Director of LUBS Graduate School to ensure compliance with the university timescales. Normally the maximum period that can be allowed for further work is six months beyond the first viva voce, but may be less than six months if an extension to the original transfer viva voce has been granted. Any extension to the transfer has to be approved by the Graduate Board's Programmes of Study and Audit Group. In all cases, the second viva voce must be held within eighteen months of the date of first registration for full-time study, or 30 months for part-time study. This is because the University allows a decision on transfer to be deferred by up to six months, provided a final decision on transfer is taken by no later than 18 months from the date of commencement of full-time study (30 months for part-time study).

All transfer panels should normally include two members of staff who have not been involved in the supervision of the Postgraduate Researcher. It is good practice for the main supervisor to be present at the transfer interview, but is at the discretion of the Postgraduate Researcher. If a supervisor is present, they should withdraw from the meeting and an independent member of the panel should ask the Postgraduate Researcher if they have any issues with their supervision. The decision on the transfer should be based on the transfer document (an outline of the details for this document can be found on Minerva in the 'LUBS Graduate School' Organisation) and will also be articulated in the 'PhD Essentials: Preparing for your Transfer' session which is delivered by OD&PL. The Postgraduate Researcher must be interviewed by the transfer panel and this should take the form of a viva voce. The Postgraduate Researcher should give a 10 minute formal presentation at the start of the transfer panel. One of the independent members of the panel should act as the Chair of the panel. The outcome of the transfer panel must be recorded using the form on GRAD. This report is normally completed by the Chair of the transfer panel and submitted on GRAD on behalf of all parties.

In addition to the successful defence of their transfer document (for which there is guidance on Minerva), in order to transfer to PhD status, Postgraduate Researchers will be required to make satisfactory progress with their agreed training plans. All training plans will include the completion of up to 60 credits (subject to exemptions) of Masters level research methods (or subject specific) modules: 45 credits prior to transfer and 15 credits in the second year (third year for part-time PGRs). The expectation is that all Postgraduate Researchers will achieve at least a pass grade in the 45 credits taken prior to transfer, in order to transfer to the second year of the programme. Postgraduate Researchers failing to meet this standard will be given the opportunity to re-sit modules. If 45 credits (subject to exemptions) has not been achieved by transfer, the transfer panel may recommend a deferral of the decision to allow completion of the training plan requirements. Postgraduate

	Researchers are also expected to achieve at least a pass grade in the 15 credits of training taken post-transfer (second year for full-time PGRs and third year for part-time PGRs). PGRs failing to meet this standard will be given the opportunity to re-sit modules. Full details of this training requirement for Management and Business, Economics and Accounting and Finance Postgraduate Researchers can be found at http://business.leeds.ac.uk/phd/training-development/.
6.3	The decision on transfer must be recorded in writing, agreed by all the members of the assessment Panel and signed by either the Chair or the independent assessor, and will contain a brief assessment of the PGR's progress. In all cases the PGR must receive a copy of the decision made by the assessment Panel in writing.
6.4	The Faculty Director of Postgraduate Research Studies or Head of the School, as appropriate (see note 8): (i) should keep a comprehensive record of the PGR's candidature, including notes of supervision meetings, reports, the agreed training plan and records and other information (for example, medical certificates) having a bearing on the PGR's progress; (ii) have overall responsibility for ensuring that formal assessment and monitoring of progress takes place and that any emerging issues are addressed.
6.5	The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see note 8) are strongly encouraged to make provision for PGRs to present their work regularly at seminars involving staff and other PGRs.
7.	**PGR Representation, Feedback and Channels of Communication and Complaints** (see also 5.2 above)
7.1	The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see note 8) should ensure that PGRs, are represented on the postgraduate or other relevant school staff-student committee and on the Faculty Graduate School Committee and that adequate opportunity is given to discuss issues affecting them. PGR representatives will not be involved in the consideration of matters relating to individual PGR cases.
	Postgraduate Researchers (PGRs) have representatives on the Faculty Graduate School Committee (see section 2 for composition of this committee). These representatives are nominated by the PGR representatives on the PGR Forum (see below). If necessary, an election is arranged to fill these positions. PGR Forum This committee is a forum for constructive discussion of ideas, problems and issues of concern to both staff and PGRs. Its success depends on the participation of PGRs. The membership of the PGR Forum is as follows: • Director of LUBS Graduate School • Deputy Director of LUBS Graduate School • Research Degree Divisional Directors • Graduate Education Service Manager (Graduate School Manager) • Research Degrees Admissions Officer • Research Degrees Programme Officer • Research Degrees Programme Officer (Student Support) • Research Degrees Admissions Assistant • Accounting and Finance PGR representatives • Economics PGR representatives

	• International Business PGR representatives • Management PGR representatives • Marketing PGR representatives • Work and Employment Relations PGR representatives The PGR representatives are elected on an annual basis (trying to incorporate coverage from all years and modes of study). Requests for representatives are sent out at the start of each academic year. An election/selection process is held as required. This Committee meets at least once every term. It is Chaired and serviced by a nominated PGR representative and is supported by the Graduate School. A PGR representative also sits on the School's Equality and Diversity Committee and Faculty Executive Group.
7.2	PGRs should make use of the University Student Complaints Procedure (which is published on the University website) if they are dissatisfied with any aspect of their supervision or with facilities available for their research. They should be encouraged first to consult the supervisor or the Postgraduate Research Tutor and, after the outcome of that consultation, to make use of the University Complaints Procedure, where appropriate.
7.3	The University has in place a procedure governing the consideration of PGR appeals which is published on the University website.
7.4	The University regularly surveys PGRs about their experience and satisfaction with arrangements and facilities for research degrees and all PGRs are invited to participate.
8.	**Minimum standards of facilities provision for full-time PGRs**
	As a general principle, the Graduate Board has specified that access to facilities such as printing, photocopying and common room facilities for PGRs should be commensurate with the requirements for the research. A clear statement on these matters should be included in the Faculty Protocol for the implementation of the Code of Practice.
	Issues related to the appropriate resources for the proper conduct of the research (e.g. equipment, library collections and computing facilities and software) must be considered prior to the acceptance of the PGR (see 3 above).
	Faculties and Schools should provide the following for all full-time PGRs who request or require them:
	• Sufficient flexible work and storage space • Opportunities for interaction with fellow researchers and academic staff • Access to the University's Computing network and internet • Access to a printer for work prescribed by the School • Access to a photocopier for work prescribed by the School • Access to a telephone for work prescribed by the School

In the Faculty of Business:

- All full-time Postgraduate Researchers are normally allocated a desk in one of the study areas, as space permits, by the division or Graduate School office as appropriate;

- All part-time, split-site and visiting Postgraduate Researchers (miscellaneous PGRs) normally have access to a hot desk in one of the study areas;

- All Postgraduate Researchers have access to computer facilities within one of the study areas, including access to the university network, internet and printing facilities with 24/7 access (subject to the relevant training being completed);

- Each full-time Postgraduate Researcher can apply for a lockable storage locker in one of the study areas as appropriate;

- A telephone is available within one of the study areas for Postgraduate Researchers to use for research related calls;

- Each Postgraduate Researcher is allocated an allowance (PGR Fund) to be used to assist with research related expenses during their candidature. The full policy can be found on the 'LUBS Graduate School' organisation on Minerva;

- Photocopying facilities are available within the Business School and the University as a whole;

- Postgraduate Researchers can book room GM.04 for meetings (bookable via the Graduate School office); rooms in the Western Lecture Theatre are also available on a first-come, first-served basis;

- Postgraduate Researchers have access the staff room in 20 Lyddon Terrace, or Charles Thackrah building, as appropriate;

- Postgraduate Researchers have access to the Global Lounge in 20 Lyddon Terrace;

- Postgraduate Researchers have access to a fax facility via the Business School reception and should contact the Graduate School office to arrange this;

- Postgraduate Researchers have access to prayer facilities within the University;

- Postgraduate Researchers have access to research training, which may be delivered by LUBS, OD&PL or external providers;

- Postgraduate Researchers have access to opportunities advertised from the White Rose Doctoral Training Partnership.

Similar facilities should be made available for those studying under split site arrangements whilst they are resident in Leeds and for part-time PGRs, where appropriate.

9.	**Responsibilities of Deans of Faculty, Faculty Directors of Postgraduate Research Studies, Heads of Schools**
	The responsibilities of Deans (or where they have been delegated to Faculty Directors of Postgraduate Research Studies or Heads of Schools) may be summarised as follows:
	- To ensure that an adequate management structure and procedures are in place for handling postgraduate research matters - To ensure that minimum standards of facilities are available to PGRs
	- The delegation, where relevant, of responsibilities for postgraduate matters to appropriate individuals (for example Heads of School or Postgraduate Research Tutors) - To recommend supervisors to the Graduate Board - To make alternative and acceptable supervision arrangements when a supervisor leaves the University - To ensure that no supervisor is overloaded with supervisory responsibilities and to review the position regularly - To specify the minimum number of supervisory meetings within their area (subject to meeting the minimum requirements specified by the University in this Code) - To ensure that a comprehensive record of the research degree candidature of all PGRs is maintained - To ensure that PGRs are represented on relevant Faculty and School committees
10.	**Assessment processes for research qualifications**
	The Graduate Board prescribes arrangements whereby the criteria, regulations and learning outcomes for the award of different types of research degrees are clear, rigorous and widely available.
	The Graduate Board publishes eligibility criteria for the appointment of Examiners. As a minimum two appropriately qualified Examiners are appointed for each candidate with at least one Examiner being external to the institution. Internal Examiners are required to attend a University training course before acting in this capacity. No member of staff who has been substantially involved in the research may serve as an Internal Examiner. Responsibility for the consideration and review of recommendations from Schools for the appointment of Examiners is delegated by the Graduate Board to its specialist Examinations Group, which monitors the frequency of appointments of examiners.
	In order to ensure consistency within the examination process Examiners receive written instructions on the relevant University procedures together with the criteria for the recognition of different levels of achievement. These instructions are widely available within the University.
	After the submission of the thesis all candidates for research degrees are required to undergo an oral examination with the appointed Examiners and:
	- the examination should normally take place within a maximum time scale of three months from the date of the dispatch of the thesis to the Examiners; - the Examiners must prepare separate, independent written reports before the viva and, following the viva, a joint report which contains a recommendation in accordance with the stipulated University criteria;

	• a supervisor may be an observer at the examination at the request of the PGR and if not present must be available for consultation with the Examiners if required; • the Examiners should advise the candidate informally of the recommendation being sent forward, normally within 24 hours of the completion of the oral examination. The details will depend upon the precise recommendations being sent forward. Where appropriate, information about the University appeals procedure (see 7.3 above) must be provided to the candidate.
	University Monitoring
	The Graduate Board requires its Examinations Group to monitor and review all aspects of the examination, including the selection of examiners, the implementation of the procedures, the nature and details of the reports and the overall performance of candidates and staff within Schools and Faculties.

Endnotes

1.   The expression 'School' within this Code includes any unit admitting and registering PGRs. This will also include the two institutions accredited by the University with authority to register research degree candidates (Leeds Trinity University and York St John University) who will each also have their own Code of Practice. Some Faculties within the University may admit and register PGRs through a Faculty Graduate School.

2.   Heads of Schools recommend the appointment of Postgraduate Research Tutors to the Faculty Graduate School Committees, with the appointments being confirmed by the Graduate Board.

3.   Where the Faculty or School organises its research programme into identifiable sub-areas it may be convenient to have more than one postgraduate tutor and research committee.

4(a).   However, where applicants do not satisfy the minimum stated requirements for acceptance as a PGR candidate the decision may be made by the Postgraduate Research Tutor, acting alone.

4(b).   Consideration of applications to some collaborative programmes with other universities may involve academic staff from partner institutions and at least one member of academic staff from the University

5.   The University's minimum English language entry requirements for admission of PGRs whose first language is not English are the British Council IELTS band score 6.0 (with not less than 5.5 in any component) or internet based TOEFL (iBT) overall 87 with not less than 20 in listening, 21 in writing, 20 in reading and 22 in speaking. Some Schools may require levels of achievement that are higher than the stipulated minimum.

6.   As part of the process of establishing a training plan the written and spoken English language of all PGRs whose first language is not English will be assessed by their supervisor(s) in accordance with the Traffic Light Language Development Scheme https://www.leeds.ac.uk/arts/info/20056/language_centre. The purpose of the assessment is to identify those PGRs who have been classed as suitable for admission but who would benefit from further core language development.

7.   Bench fees represent the PGR's contribution towards specific school costs generated by the PGR's research. It is important that the nature of these fees should be conveyed to the PGR and to sponsors and they should be itemised.

8.   Or the individual to whom responsibility has been delegated.

9.   All those appointed as supervisors must meet the criteria specified by the University and must have undertaken appropriate University training.

10.   It is not possible in a general Code of this nature to specify a maximum number of PGRs per member of staff. However, it is expected that if a member of staff has a heavy load of research supervision, this would be allowed for in allocation of teaching and administrative duties.

11.   Such matters will commonly be handled by the supervisor.

12.   When PGRs are abroad or at other institutions in the UK formal supervisory contact may take place by other means (eg telephone, video conferencing, Voice over Internet Protocol (VoIP) (eg skype), email).

13.   During periods of fieldwork, when it may not be possible to hold regular supervision meetings or where the location of the PGR does not allow for supervisory meetings to continue, it is acceptable for gaps between meetings of more than 8 weeks to occur (or 12 weeks for part-time PGRs)

14.   The Head of School or Postgraduate Research Tutor may delegate responsibility for attending the annual review meeting to a senior member of the academic staff who is not part of the supervisory team.

15.   In the case of part-time PGRs the equivalent point will be after nine months.

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