

## Faculty of Engineering

### 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 Engineering, 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.

<b>1.</b>	<b>General</b>
	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 <a href="#">Faculty Protocols</a> 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.
	This Protocol is made available on the <a href="#">University website</a>  A link is provided via the Faculty's Graduate School Office at: <a href="https://intranet.engineering.leeds.ac.uk/go/">https://intranet.engineering.leeds.ac.uk/go/</a>
<b>2.</b>	<b>Management Structure</b>
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 ( <a href="#">see note 1</a> ). There should be at least one Postgraduate Research Tutor ( <a href="#">see note 2</a> ) in each School who (subject to the overall responsibility of the Faculty Director of Postgraduate Research Studies and

	<p>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 (<a href="#">see note 3</a>) which must be described in the relevant Faculty Protocol for the implementation of the University Code of Practice for research degree candidatures.</p>
	<p><b><u>Arrangements within the Faculty of Engineering for handling PGR matters</u></b></p> <p>The Faculty of Engineering consists of five Schools:</p> <ul style="list-style-type: none"> <li>• School of Civil Engineering</li> <li>• School of Computing</li> <li>• School of Electronic and Electrical Engineering</li> <li>• School of Mechanical Engineering</li> <li>• School of Chemical and Process Engineering</li> </ul> <p>Research degrees in all the above Schools are regulated by the Faculty Graduate School Committee, which reports to Graduate Board of the University. Responsibility for PGR matters within each School rests with the Postgraduate Research Tutor (PGRT) vice the Head of School. Schools are encouraged to have a ratio of one PGRT per 50 PGRs, though the distribution of roles between PGRTs within a single School is at the School's discretion.</p> <p>Research degree administration is provided for all the Schools by the Faculty's Graduate School Office (GSO).</p> <p>The Faculty delivers a suite of research degree programmes which include taught elements, in some instances leading to an Integrated PhD and MSc award. These are typically delivered through a Centre for Doctoral Training. These centres are managed by programme Management Boards. Taught elements of the programme, including the classification award of the MSc component of the Integrated PhD and Master, are regulated by School Taught Student Education Committee (STSEC). Regulation of the research study aspects, and the overall regulation of the programmes, is through the Faculty Graduate School Committee.</p> <p>Postgraduate Research policy and statutory reporting is governed by the FGSC. Individual PGR matters are normally handled by the Postgraduate Research Tutor, and exceptionally by the Director of Postgraduate Research Studies. Individual PGR matters within CDTs may initially be handled by the Director of the Programme, however formal processes are managed by the PGRT or Director of Student Education as appropriate.</p> <p><i>Annex 1</i> provides an organisational chart of the management and support structure for PGRs.</p>
<b>3.</b>	<b>Admission</b>
3.1	<p>The <a href="#">minimum requirements for entry</a> to research degree study are stated on the University web site as well as in the <a href="#">Ordinance and Regulations</a> for research degrees. Applications for admission to postgraduate research will be considered under arrangements specified by the Faculty Graduate School Committee. The</p>

	<p>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.</p>
	<p>The Faculty adopts the University's minimum entry requirements.</p> <p>Applicants are expected to provide the following documentation with their application:</p> <ul style="list-style-type: none"> <li>• Degree certificates</li> <li>• Transcripts of degree programmes taken including, where available, interim transcripts of programmes currently being undertaken</li> <li>• Names and contact details of two academic referees or references from two academic referees</li> <li>• A research proposal or statement of the proposed area of research, unless the application is for a project offered by the School or a Centre for Doctoral Training</li> </ul> <p>Applicants may also wish to provide a CV.</p> <p>Where applications do not include the required information or documentation, the GSO will contact applicants to ask them to supply these within a specified timescale. Where these are not supplied, the application may be sent to the PGRT with a recommendation to reject.</p> <p>Applications will be reviewed within the GSO and filtered against criteria agreed by the Graduate School Committee. Applications failing to meet the criteria will be sent to the PGRT with a recommendation to reject.</p> <p>Criteria for circulation are currently:</p> <ul style="list-style-type: none"> <li>• Meeting the University's minimum entry criteria (or being enrolled on a programme that will allow the potential to meet these criteria)</li> <li>• Having obtained, or having the potential to obtain a bachelor degree with upper second class honours from a reputable university in a relevant subject area</li> <li>• Having a proposed area of research which has the potential to match with the supervision which may be offered in the School</li> </ul> <p>Additional criteria which may influence the decision are:</p>

	<ul style="list-style-type: none"> <li>• Having obtained, or have the potential to obtain, a master's degree</li> <li>• Having relevant additional skills indicated by employment, placement or similar</li> <li>• Having relevant research publications</li> </ul> <p>An interview should take place for those applicants for whom an offer of admission is under consideration. Interviews should where possible be carried out by at least two staff members, including the potential supervisor. Where practicable, interviews should be on a face-to-face basis, however, interviews may be by video conference. Telephone interviews should only be used in exceptional circumstances.</p> <p>Interviews should test the candidate's understanding of the field of research, depth of knowledge of the topic proposed, relevant research skills, and communication skills. Further guidance is provided on the GSO staff website:  <a href="https://intranet.engineering.leeds.ac.uk/go/forstaff.shtml">https://intranet.engineering.leeds.ac.uk/go/forstaff.shtml</a></p> <p>Academic staff may provide a recommendation for an offer via the GSO using the relevant information system, for approval by the PGRT. Formal offers will be produced by a designated University officer.</p>
3.2	<p>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 <a href="#">programme of study specification</a>. Graduate Board will be advised of any decisions taken. APL is not permitted, in any circumstances, against the research thesis or thesis preparation components.</p>
3.3	<p>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 (<a href="#">see note 5</a>). 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 (<a href="#">see note 6</a>) and these are included in the training needs analysis and training plan (see 4.3 (vi) and 4.6(i) below).</p>
	<p>The Faculty of Engineering adopts the University's minimum English language entry requirements for admission of PGRs whose first language is not English, which are set out in the University Code of Practice.</p>
3.4	<p>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 (<a href="#">see note 7</a>). 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.</p>
<b>4.</b>	<b>Supervision</b>
4.1	<p>It is the responsibility of the Dean of the Faculty, the Faculty Director of Postgraduate Research Studies or the Head of the School (<a href="#">see note 8</a>) to recommend <a href="#">suitable supervisors</a> for appointment by the Graduate Board (<a href="#">see note 9</a>). Where co-</p>

	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 ( <a href="#">see note 10</a> ).
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 ( <a href="#">see note 11</a> );
	(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 ( <a href="#">see note 8</a> ), 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 <a href="#">Statement on Learning Outcomes</a> ;
	(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 <a href="#">Policy on Safeguarding Data – Storage, Backup and Encryption</a> ;
	(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 Development);
	(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 <a href="#">arrangements</a> 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 <a href="#">attendance monitoring policy</a> ;
	(xxvii)	Ensuring that the PGR is aware of the University <a href="#">Publication</a> and <a href="#">Research Data Management</a> policies and knows that these apply to publications in press at the time the PGR leaves the University.
	<p>The Faculty of Engineering has outlined the following additional responsibilities:</p> <p>(xxviii) the supervisor is responsible for ensuring that the a regular record of attendance is maintained on GRAD. Supervisors of PGRs in their standard period should aim to meet for a formal supervision meeting at least once per calendar month (every two months for part-time researchers). There must be at least 10 formal supervision meetings recorded in the Graduate Record of Achievement and Development (GRAD) each year (6 for part-time researchers), with no more than 8 weeks in between a meeting. Supervisors should comment and approve these records, confirming that a formal supervision meeting has taken place.</p> <p>Supervisors are required to report to the Graduate School Office when there has been no contact or missed supervision meetings with individual PGRs for a month (unless absence has been authorised for illness or other suspension, etc), or where there is a pattern of absences which is affecting the PGR’s work or causing concerns for the PGR’s wellbeing. The GSO will inform the PGRT and investigate directly.</p> <p>Supervisors should also maintain contact with PGRs who are away from the University on Fieldwork or other research business, and must record such contact in GRAD. If international PGRs undertake fieldwork overseas for a period of one month or more, supervisors must:</p> <ol style="list-style-type: none"> <li>Inform the GSO of the dates and location of fieldwork for Home Office reporting purposes (GRAD) or by completion of the <a href="#">PGR Change of Study Location Form</a> (or equivalent) and</li> <li>Continue to record their academic engagement and progress. This may take place by skype, telephone, email or a combination. Auditable records of supervision must be kept in GRAD.</li> </ol> <p>There is no requirement for PGRs to stay in Leeds during their overtime period. If it is agreed that an international PGR will remain in Leeds during this period their attendance and academic engagement must be monitored as usual, and records kept in GRAD. If Tier 4 visa holders wish to return overseas, supervisors should ensure this is reported via GRAD or by completing the <a href="#">PGR Change of Study Location Form</a></p> <p>(xxix) the supervisor should encourage the PGR to present their work for publication in high impact, peer reviewed journals and conferences.</p> <p>(xxx) supervisors should refer concerns over PGRs’ academic performance promptly to the PGRT; such concerns will be managed by the PGRT with the support of the</p>	

	GSO within the framework of the University's Unsatisfactory Academic Performance Procedure (UAPP)	
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 ( <a href="#">see note 8</a> ) must satisfy himself / herself that alternative and acceptable <a href="#">supervision arrangements</a> 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 ( <a href="#">see note 8</a> ) 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..	
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 <a href="#">holiday entitlement</a> ;
	(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 <a href="#">ethical requirements</a> or appropriate Research Governance;
	(xi)	to comply with the University's <a href="#">Policy</a> 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 <a href="#">regulations</a> and <a href="#">procedures</a> 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 <a href="#">Publication</a> and <a href="#">Research Data Management</a> policies, noting that these will also apply to publications in press at the time the PGR leaves the University and to any associated data.
	<p>The Faculty of Engineering has outlined the following additional responsibilities:</p> <p>(xxiii) Induction</p> <p>All new PGRs will be asked to attend a series of Graduate School induction activities as set out in <i>Annex 2</i></p> <p>Induction events will take place throughout the year, and PGRs are expected to attend the first available course.</p> <p>(xxiv) Time commitment and attendance monitoring</p> <p>There is an expectation that full-time research PGRs will spend at least 37½ hours</p>	

	<p>on their degree each week (for part-time PGRs on average 20 hours per week). PGRs have a vacation entitlement set by the University of up to 25 days, plus days when the University is closed. PGRs must obtain permission for vacation and other absence from their supervisor in advance.</p> <p>PGRs in their standard period should aim to meet for a formal supervision meeting at least once per calendar month (every two months for part-time researchers). There must be at least 10 formal supervision meetings recorded in GRAD each year (6 for part-time researchers), with no more than 8 weeks in between a meeting.</p> <p>PGRs who are away from the University on Fieldwork or other research business should also maintain contact with their supervisor, and must record such contact in GRAD</p> <p>There is no requirement for PGRs to stay in Leeds during their overtime period. If it is agreed that an international PGR will remain in Leeds during this period their attendance and academic engagement must be monitored as usual, and records kept in GRAD. If Tier 4 visa holders wish to return overseas, supervisors should complete the <a href="#">PGR Change of Study Location Form</a></p> <p>Attendance regulations for international PGRs may be subject to change subject to the University's responsibilities under Home Office guidelines.</p> <p>(xxv) Academic Progress</p> <p>PGRs failing to make reasonable academic progress will be subject to the University's Unsatisfactory Academic Performance Procedure.</p> <p>(xxvi) External organisations</p> <p>PGRs must not approach organisations or individuals external to the University in connection with their research or on behalf of the University without the permission of their supervisor. PGRs must obtain explicit permission before using University of Leeds headed paper for correspondence.</p> <p>(xxvii) Health and Safety</p> <p>The Faculty of Engineering is committed to high standards of health, safety and welfare. It is Faculty policy to maintain a safe environment for all staff, PGRs and visitors by raising health and safety awareness; instilling a positive safety culture; and, by promoting cooperation between all members of the Faculty with regard to safety initiatives.</p> <p>All PGRs are expected to behave at all times in a way which is consistent with the above statement. In addition, PGRs are expected to undertake specified training and induction activities as set out in <i>Annex 2</i>:</p> <p>(xxviii) Leaving the University</p> <p>When PGRs permanently leave the Graduate School, either during or on completion of their programme of study, they must comply with the Protocol for PGRs leaving the School provided as <i>Annex 3</i> to this Protocol.</p>
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.	
<b>5.</b>	<b>Supervisory Support</b>	
<b>5.1</b>	There are 2 main models of supervision :	
	Model 1:	<u>Co-supervision</u>  <u>Either</u> (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.  <u>or</u> (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.	
	In the Faculty of Engineering the preferred model of supervision is Model 1: Co-supervision. Model 2: one Main supervisor together with a Mentor/Advisor will only be permitted in exceptional circumstances.	
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	

	<p>supervisor(s), with the Postgraduate Research Tutor or Head of School (<a href="#">see note 14</a>) 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.</p>
	<p>PGRs will be reminded by the GSO to re-register annually. This reminder will include an offer to meet with the PGRT if required. PGRs will be asked to ensure their supervision records and milestones are up-to-date before they re-register.</p> <p>PGRs are encouraged to report any concerns during their candidature to the GSO. The GSO will refer PGRs to appropriate support including the PGRT.</p>
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.
<b>6.</b>	<b>Formal assessment and monitoring</b>
6.1	<p>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 (<a href="#">see note 15</a>), 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.</p>
	<p>Annual progress monitoring will be via a report at the mid-point of the first year, Transfer in year one and post-transfer using 'Model A' of the University's Annual Progress Review policy.</p> <p><b>First Formal Progress Report</b></p> <p>PGRs are asked to complete via GRAD the above report by the end of month 4 (full-time) or month 9 (part-time). Guidance on the content and a link to the required form is provided on the GSO website.</p> <p><b>Transfer</b> see below.</p> <p><b>End of Year 2 (FT) or Year 4 (PT)</b></p> <p>Supervisors identify an independent reviewer for approval by PGRT.</p> <p>PGRs must submit are required to submit via GRAD the following:</p> <ul style="list-style-type: none"> <li>• A short research paper. This can be either a paper already published or in press or if this has not been achieved, a newly-produced short paper</li> </ul>

	<p>(maximum 4 pages including all figures and references) broadly modelled on a 'Letters'-type journal article</p> <ul style="list-style-type: none"> <li>• A reflection on progress to date, this might include completed chapters / laboratory work, and conference attendance;</li> <li>• A submission plan for the final Thesis (maximum one side of A4) to include: <ul style="list-style-type: none"> <li>○ A description of the research to be completed</li> <li>○ Project risks/ mitigation</li> <li>○ A statement of their confidence of submitting on time</li> <li>○ A thesis plan (maximum one side of A4) outlining the chapters and sub-headings</li> </ul> </li> </ul> <p>The independent reviewer and supervisor will hold a short interview with the candidate and submit a report on the appropriate form.</p> <p><b><i>End of Year 3 (FT) or Year 5 (PT)</i></b></p> <p>The expected completion date is the end of the standard period of study, ie the end of month 36 (FT) or month 60 (PT). PGRs who do not submit at this stage must complete the end-of year report.</p> <p>PGRs are required to submit via GRAD the following:</p> <ul style="list-style-type: none"> <li>• At least one Thesis chapter</li> <li>• A reflection on progress to date, this might include completed chapters / laboratory work, and conference attendance;</li> <li>• An updated submission plan for the final Thesis (maximum one side of A4) to include: <ul style="list-style-type: none"> <li>○ A description of the research to be completed</li> <li>○ Project risks/ mitigation</li> <li>○ A statement of their confidence of submitting on time</li> <li>○ A thesis plan (maximum one side of A4) outlining the chapters and sub-headings</li> </ul> </li> </ul> <p>The independent reviewer and supervisor will hold a short interview with the candidate and submit a report on the appropriate form.</p> <p><b><i>At the end of all other years of study</i></b></p> <p>PGRs are required to submit via GRAD the following:</p> <ul style="list-style-type: none"> <li>• A brief piece of work</li> <li>• A reflection on progress to date, this might include completed chapters / laboratory work, and conference attendance;</li> <li>• An updated submission plan for the final Thesis (maximum one side of A4)</li> </ul> <p>The independent reviewer and supervisor will hold a short interview with the candidate and submit a report on the appropriate form.</p> <p>The independent assessor for the Transfer may also be the independent reviewer for the annual review process at the discretion of the PGRT. In recommending reviewers, supervisors should be aware that under University policy a member of staff involved as a reviewer <i>after</i> the Transfer cannot subsequently act as Internal Examiner for the Thesis.</p>
--	---

6.2	<p>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 <a href="#">programme of study specification</a> on the University website. The decisions that may be made by transfer panels are:</p>
(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.
	<p><b>Transfer Report</b></p> <p>PGRs should submit their Transfer Report of no more than 50 pages via GRAD by the end of month 9 (full-time) or month 18 (part-time).</p> <p>The PGR's transfer report should address the following issues, which will be discussed at the panel interview:</p> <p style="padding-left: 40px;">Research focus, research methodology, originality, progress, literature review, work completed, research plan, any training requirements</p> <p>Additional issues may be addressed as appropriate.</p>



	<p>Detailed advice and guidance on the content is provided on the GSO website.</p> <p><b>Transfer Panel</b></p> <p><i>Supervisors</i> are asked to recommend a Transfer Panel comprising of at least two assessors . . . In accordance with the University's regulations, at least one assessor must be independent of the supervision process. Supervisors may act as assessors if this is the practice in the individual School.</p> <p>Transfer Panels are asked to comment on quality of report, quality of performance in examination, technical ability, appropriateness of research to the desired qualification, effort and commitment, verbal and written ability, and potential for research at Doctoral level.</p> <p>Approval should only be given for Transfer to PhD where the Transfer Assessment Panel is confident that the candidate is likely to complete their research work within 36 months (full time/full-time split-site) or 60 months (part-time) of the formal start date and submit a successful PhD thesis within 48 (full-time/ split-site) or 84 months (part-time/part-time split-site).</p>
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 ( <u>see note 8</u> ): (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 ( <u>see note 8</u> ) are strongly encouraged to make provision for PGRs to present their work regularly at seminars involving staff and other PGRs.
<b>7.</b>	<b>PGR Representation, Feedback and Channels of Communication and Complaints</b> (see also 5.2 above)
7.1	The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate ( <u>see note 8</u> ) 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.
	<p>The GSO will make arrangements for PGR Representatives to be selected from amongst the PGRs in the Faculty of Engineering. PGR Representatives will become members of the FGSC and of the committee which considers PGR matters in their School for all policy matters.</p> <p>PGR Representatives work to a Role Description approved by FGSC and available on the GSO website.</p>
7.2	PGRs should make use of the University <a href="#">Student Complaints Procedure</a> (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 <a href="#">procedure</a> 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.
<b>8.</b>	<b>Minimum standards of facilities provision for full-time PGRs</b>
	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 <a href="#">Faculty Protocol</a> 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:
	<ul style="list-style-type: none"> <li>• Sufficient flexible work and storage space</li> <li>• Opportunities for interaction with fellow researchers and academic staff</li> <li>• Access to the University's Computing network and internet</li> <li>• Access to a printer for work prescribed by the School</li> <li>• Access to a photocopier for work prescribed by the School</li> <li>• Access to a telephone for work prescribed by the School</li> </ul>
	All full-time PGRs within the Faculty of Engineering will, during their standard period of study be provided with their own desk in a shared office and their own computer.
	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.
<b>9.</b>	<b>Responsibilities of Deans of Faculty, Faculty Directors of Postgraduate Research Studies, Heads of Schools</b>
	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:
	<ul style="list-style-type: none"> <li>• To ensure that an adequate management structure and procedures are in place for handling postgraduate research matters</li> <li>• To ensure that minimum standards of facilities are available to PGRs</li> </ul>

	<ul style="list-style-type: none"> <li>• The delegation, where relevant, of responsibilities for postgraduate matters to appropriate individuals (for example Heads of School or Postgraduate Research Tutors)</li> <li>• To recommend supervisors to the Graduate Board</li> <li>• To make alternative and acceptable supervision arrangements when a supervisor leaves the University</li> <li>• To ensure that no supervisor is overloaded with supervisory responsibilities and to review the position regularly</li> <li>• To specify the minimum number of supervisory meetings within their area (subject to meeting the minimum requirements specified by the University in this Code)</li> <li>• To ensure that a comprehensive record of the research degree candidature of all PGRs is maintained</li> <li>• To ensure that PGRs are represented on relevant Faculty and School committees</li> </ul>
<b>10.</b>	<b><u>Assessment processes for research qualifications</u></b>
	The Graduate Board prescribes arrangements whereby the <a href="#">criteria, regulations and learning outcomes</a> for the award of different types of research degrees are clear, rigorous and widely available.
	The Graduate Board publishes <a href="#">eligibility criteria</a> 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:
	<ul style="list-style-type: none"> <li>• 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;</li> <li>• 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;</li> <li>• 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;</li> <li>• 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.</li> </ul>

	<b><u>University Monitoring</u></b>
	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.

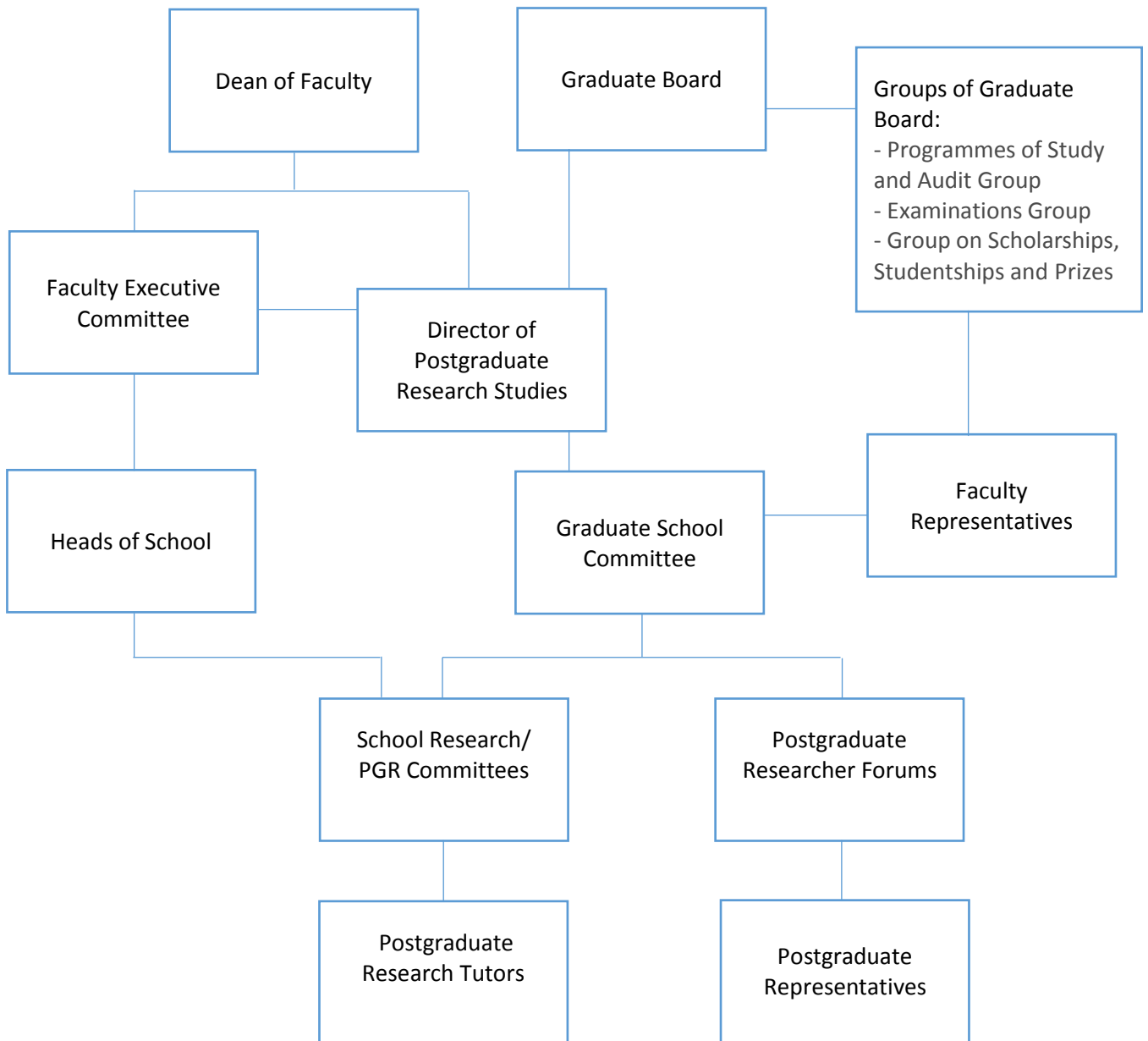
## Endnotes

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](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.

PGRO/ST, Ext 35778, 06/11/17

## Governance Structure for Postgraduate Researchers in the Faculty of Engineering





Faculty of Engineering

**Graduate School**

**Induction for new PGRs**

All new PGRs will be asked to attend a series of Graduate School induction activities. These are notified to new PGRs before arrival and may be subject to change. CDT candidates will attend a programme-specific induction.

Example Induction programme:

Attend the Graduate School Office on arrival at the University to receive

- a short Welcome Handbook providing information on starting their studies, including the web location for the Code of Practice and further information.
- location of PGRs' and supervisors' offices
- details of registration arrangements

Take part in an induction consisting of a series of events including:

- a welcome event and briefing, including an opportunity to meet other PGRs
- introductory courses in starting research study
- specified health and safety courses
- English language tests as required by the University for those candidates whose first language is not English

**Health and Safety responsibilities of PGRs**

The Faculty of Engineering is committed to high standards of health, safety and welfare. It is Faculty policy to maintain a safe environment for all staff, PGRs and visitors by raising health and safety awareness; instilling a positive safety culture; and, by promoting cooperation between all members of the Faculty with regard to safety initiatives.

All PGRs are expected to behave at all times in a way which is consistent with the above statement. In addition, PGRs are expected to undertake specified training and induction activities as set out in below, subject to any changes approved by the Faculty:

- Attend an introductory safety briefing as part of their Faculty-level Induction. Details of this will be incorporated in the information provided to new PGRs.
- Complete an accredited health and safety course within their first year of study. Details of this will be incorporated in the information provided to new PGRs. Part-time or split site PGRs who do not use any of the laboratory spaces at the University of Leeds, are exempted from this requirement.
- Obtain a briefing from their supervisor, supervisory team leader, laboratory supervisor or other appropriate staff member on specific safety issues relating to their work.
- Read a copy of the Faculty's Health and Safety Handbook, which is available on the Intranet.

Faculty of Engineering

**Graduate School**

**Protocol for Postgraduate Researchers (PGRs) leaving the School**

This protocol forms part of the Faculty Code of Practice for PGRs and applies both to PGRs leaving during, or on completion of, their studies.

PGRs must agree a leaving date with their main supervisor. This is the date when they will physically leave the premises and after which they will have no further access to facilities for study or other reasons. It may differ from their formal date of the end of their candidature.

On this date, the PGRs should arrange to meet with the Supervisor to sign off the form given below. In signing the form, the supervisor confirms that to the best of his or her knowledge the items on the form have been satisfactorily dealt with.

The form should then be returned promptly to the Graduate School Office. PGRs who are significantly out of compliance with the provisions of this protocol may be held liable for any costs incurred including, but not exclusively, the costs of cleaning or making safe laboratory space, or costs associated with the failure to provide clear access to intellectual property such as experimental results or software. In line with University policy, such costs may be posted as a debt to the University and may therefore lead to the withholding of their degree award.

Faculty of Engineering  
Graduate School**Form for Postgraduate Researchers (PGRs) leaving the School**

PGR name

Student ID number

Main supervisor

Last date that the PGR will have access to facilities

Action	Complete Yes or NA
1. Has all experimental apparatus used by the researcher been left in a safe state. (If in doubt contact the Faculty Safety Office.)	
2. Have all chemical containers associated with the research project been checked and if chemicals are no longer required, have they been disposed of using the appropriate disposal routes, as per University / School regulations. Have all chemicals to be retained been stored appropriately, eg acids into an acid cupboard etc.	
3. If fume cupboards were used during the project have these been cleaned and cleared.	
4. Has a knowledge transfer session taken place between the PGR and supervisor (and other members of the research team as appropriate).	
5. Have all electronic files and software used throughout the candidature been left on an appropriate accessible network, as agreed with the Supervisor, and such access been clearly documented.	
6. Has all data generated in the course of the candidature been left in an accessible and documented state. Please note that, unless specifically agreed with the University (for example as part of a sponsorship agreement), all data remains the intellectual property of the University. This includes books, lab books, paperwork, exhibition posters, equipment, computer code and results.	
7. Have all workspaces and associated storage spaces been left clean and tidy.	
8. Have all keys, including electronic key cards or fobs, been returned to the nominated person or persons within the School. (Please note that although some keys are issued against a nominal deposit, if a key is not returned the Schools retain the right to replace locks for security reasons, at the PGR's expense. The costs of this are likely to be significantly higher than the deposit.)	
9. Has a forwarding address been notified to the Graduate School Office. This will be recorded on the University's Banner database and used for subsequent contact, including forwarding of essential paperwork. Any changes in the following 3 months should therefore be notified to the office.	

Signed

Signed

**Postgraduate Researcher****Supervisor***Please return this form promptly to the Graduate School Office*