

Faculty of ESSL

The Faculty Protocol for the implementation of the University's Code of Practice for Research Degree Candidatures with effect from 2016/17

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 ESSL, 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 ESSL Graduate School committee will review the Faculty Protocol annually. Postgraduate Research Tutors in each School are responsible for dissemination of the revised version to all academic and support colleagues and PGRs via School handbooks and School websites at the beginning of each session. The Faculty Protocol is also available on the Faculty website at <http://graduate.essl.leeds.ac.uk/documents-for-students/>

The University Code is the definitive statutory document. This is available on the Postgraduate Research and Operations website for reference by staff and PGRs.

The Faculty Protocol applies to all PGRs whose 'parent' school is within the Faculty of ESSL. PGRs are usually assigned to the School to which their main supervisor belongs. Where supervision is split across faculties, only the faculty protocol relevant to the 'parent school' applies.

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 ESSL for handling PGR matters

Research degree matters in the Faculty are overseen by the Faculty Graduate School Committee which is composed of:

- the Faculty Director of Postgraduate Research Studies: Dr Stuart Lister
- Dean of the Faculty (ex officio): Prof Jeremy Higham
- the Pro Dean for Research (ex officio): Prof. Anthea Hucklesby
- the Pro-Dean for Learning and Teaching: (ex officio) Mrs Norma Martin-Clement
- the Postgraduate Research Tutors for each of the constituent Schools and Centres in the Faculty:
 - School of Education: Dr Paula Clarke, Dr. Matt Homer
 - School of Law: Prof. Duncan Sheehan, Dr. Jen Hendry
 - School of Politics and International Studies: Prof. Caroline Dyer
 - School of Sociology and Social Policy: Dr Bobby Sayyid
- the Faculty Representatives on the Groups of the Graduate Board
- PGR Faculty representative(s) (for all non-reserved business)

The following colleagues are in attendance:

- The Graduate School Manager: Elisa Coati
- The Faculty Marketing Officer: Sarah Redhead
The LEAP Skills Training and Development Officer: Jennifer Rivas Perez
- The Faculty Education Service Manager: Michael Bye

ESSL Faculty Graduate School Committee is Chaired by the Faculty Director of Postgraduate Research Studies and reports to Graduate Board and the Faculty Management Team. Postgraduate Research Tutors in conjunction with Heads of School/Centre are responsible for monitoring and enabling compliance with University Code of Practice and Faculty Protocol. They report to their School's/Centre's Postgraduate and Research Degrees Committee and to the Faculty Graduate School Committee. Any issues relating to taught courses (for instance, the taught components of the EdD programme or the Integrated degree of PhD and Master) will also be referred to the relevant School's Learning and Teaching Committee.

Matters of policy may be referred to Faculty Graduate School committee for discussion via Postgraduate Research Tutors and/or PGR representatives.

Individual PGR matters of cross-Faculty relevance (as opposed to School-specific) may be referred to Faculty Graduate School committee for discussion via Postgraduate Research Tutors.

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.

Within the Faculty of ESSL, applications are received by the School/Centre of intended study and are considered by the relevant Postgraduate Research Tutor in consultation with potential supervisors. At least two members of staff are involved in the consideration of each application. However, where applicants do not satisfy the minimum stated requirements for acceptance as a PGR the decision may be made by the Postgraduate Research Tutor, acting alone. Careful consideration is given to suitability and qualifications, appropriate expertise for supervision and availability of adequate resources for the proper conduct of the research. Where practicable, the applicant may be invited for interview.

In addition to the University's minimum requirements for entry the following will apply:

- In the School of Education, a relevant first degree at Honours level or equivalent is required. It is also preferable that candidates hold a Masters degree in the area they wish to pursue further, and that they have appropriate experience in the field of education.
- In the School of Politics and International Studies, a 2.1 Honours degree (or equivalent) is normally required, as well as an MA degree in a relevant subject at merit or above, with merit or above in the dissertation element of the MA.
- In the School of Sociology and Social Policy a 2.1 Honours degree (or equivalent) is normally required, as well as an MA degree in a relevant subject at merit or above.

- In the School of Law a 2.1 Honours degree (or equivalent) is normally required, as well as an MA degree in a relevant subject at merit or above.

Applicants are expected to provide a completed application form, research proposal and copies of academic (and if appropriate, professional) qualifications (certificates and transcripts in original and translation).

- 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).

Where the applicant's first language is not English, the Faculty of ESSL exceeds the University's minimum English language entry requirements as set out in the University Code of Practice. Within the Faculty of ESSL the School of Education, School of Politics and International Studies and School of Sociology and Social Policy set an entry requirement of:

- IELTS (Academic) score of at least 6.5 with at least 6.0 in all components
- OR TOEFL (internet-based test) of at least 94 with at least 21 in listening 23 in reading, 23 in speaking and 24 in writing;

The School of Law has set an entry requirement of:

- IELTS (Academic) score of 6.5 with at least 6.5 in listening and reading, and at least 6.0 in writing and speaking
- OR TOEFL (internet-based test) of at least 100 with at least 24 in reading, 22 in listening, 24 in speaking and 25 in writing
- OR Pearson Test of English (Academic) 64 on PTE Academic, with at least 60 in each of the skills.

- 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](#)).

Within the Faculty of ESSL responsibility for ensuring no supervisor is overloaded with supervisory responsibilities rests with the relevant Head of School.

- 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;
- (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.

In addition supervisors within the Faculty of ESSL are responsible for:

(xxviii) ensuring there is an annual audit of research training needs with any specific training required clearly identified along with a record of any training undertaken in the course of that year.

(xxix) in preparation for undertaking fieldwork supervisors are required to collaborate with the PGR and ensure that a risk assessment is carried out. Risk assessment forms are available from the Faculty of ESSL Website
<http://www.essl.leeds.ac.uk/professional-support-services/health-safety?tab3>

(xxx) ensuring the PGR is aware of ethical review processes, details can be found at <http://ris.leeds.ac.uk/goodpractice>

- 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 three months, an alternative supervisor or co-supervisor must be appointed.
- 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 section 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;

- (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.

(xxiii) in preparation for undertaking fieldwork PGRs are required to collaborate with supervisors to complete a risk assessment form. Forms are available from the Faculty of ESSL Website

<http://www.essl.leeds.ac.uk/professional-support-services/health-safety?tab3>

- 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.

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.

The model for supervision within the Faculty of ESSL is one main supervisor with one or more co-supervisor(s). In exceptional cases where there is only one supervisor identified the Postgraduate Research Tutor will ensure that an Advisor is also appointed. In other cases, three supervisors may be appointed, with one identified as the main supervisor.

- 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.

PGRs will be advised of the entitlement identified in para. 5.2 at induction and will also be reminded of it at least once during the academic year. This information will also be provided in School PGR handbooks.

- 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/s on the PGR's progress. As a minimum, for PGRs within the Faculty of ESSL, there should be a report at the mid-point of the first year of the candidature, prior to the transfer stage and every six months thereafter. This applies to both full-time and part-time PGRs. Each School is responsible for ensuring that these progress reports are accurate, up to date and recorded appropriately on the University's system for maintaining a record of the research degree candidature.

Normally the progress report will be completed by the PGR first, and the supervisor will then add any further comments. Completed progress reports will be available to the Postgraduate Research Tutor for consideration.

Annual progress monitoring (post-transfer) will consist of a review to be conducted by the supervisor/s with input by the PGR, and with oversight of the review by School Research Degrees Committees.

The review will be based on:

- Submission of a piece of written work by the PGR which presents an opportunity to assess academic progress without detracting from completion of the research and thesis writing. The content of the written work is to be agreed between the supervisor and the PGR and should be appropriate to the point the PGR has reached in his/her candidature;
- A reflection on progress to date, this might include completed chapters and conference attendance;
- Plan for completion of the research and the thesis within the remaining period of study (eg Gantt chart);

Where a PGR's progress is deemed by the supervisor/s to be unsatisfactory, then following agreement with the Postgraduate Research Tutor, the School will trigger the University's [Unsatisfactory Academic Progress Procedure](#).

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.

Within the Faculty of ESSL the PGR's transfer report must be submitted in sufficient time to permit the completion of the whole transfer process, including viva and any potential revisions to the transfer report, to be completed by the end of the first year for full-time candidates, and the end of the second year of study for part-time candidates.

The transfer panel must include at least one independent individual who has not been involved in the supervisory support arrangements for the PGR and at least one other panel member. The chair should be independent from the candidate's work.

The conduct of the transfer/upgrade panel should be carefully considered by each School and the Faculty recommends that all Schools familiarise themselves with the Guidance Notes for the Conduct of Upgrade/Transfer panels and seek the advice of the Chair of the Faculty Graduate School Committee if there is any doubt. Postgraduate Research tutors shall facilitate, as appropriate, panel members' familiarity with normal practice in the conduct of the panel and ensure that new panel members are briefed to ensure standards and consistency. The process should be explained clearly to the PGR beforehand.

The arrangements described above do not, however, preclude a member of the supervision team from serving as a member of an assessment Panel. When this is the case, however, and panels wish to take the opportunity to discuss the nature and quality of supervisory support with the PGR, the member of the supervisory team should be asked to leave to allow that discussion to take place.

Following the transfer/upgrade review the Panel will prepare a report which will include comments upon the documents submitted including the proposed plan for completion, weaknesses and strengths and suggestions for improvement. Where a deferral is recommended, reasons should be stated with a date for re-submission. In the case of a recommendation for withdrawal, reasons for this should be made clear.

Each School prescribes the contents of the PGR transfer report. This is likely to include:

- a completed pre-transfer progress report form;
- a synopsis of the work already carried out,
- a sample chapter,
- a planned schedule of the work,
- a summary of the periodic reports by the supervisor and other written work.
- a draft, submitted or approved ethical approval form
- evidence that, where appropriate, risk assessment has been carried out and approved/signed off

In addition the candidate will be required to submit an Academic Integrity Form.

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.

Within the Faculty of ESSL Heads of Schools (or the individual to whom responsibility has been delegated) should ensure that PGRs are represented on the postgraduate or other relevant school staff-student committee and that adequate opportunity is given to discuss issues affecting them. In all Schools at least one PGR will be nominated to represent PGRs on the School's Research Degrees Management Committee (or equivalent) at the start of each session.

Elections will be held where more nominations are received than PGR representatives are required. At least one PGR representative will also be a member of Faculty Graduate School Committee.

- 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

The Faculty of ESSL and its Schools will collaborate to provide PGRs with access to a telephone which normally should allow calls to be made to internal and emergency numbers, and allow external calls to be received. Where local or national calls need to be made in connection with students' PGRs' research, access will be arranged via supervisors.

PGRs will have the opportunity to interact with fellow researchers and academic staff at regular workshops, seminars, induction and social events at School and Faculty level, including annual PG conferences organised by individual Schools and the Graduate School.

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 Doctoral Training Partnerships 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. All PGRs whose first language is not English are required to take a University test in English on arrival and results are reported to the Graduate Board. This should NOT be regarded as an 'admission test' – its purpose is to identify those PGRs who have been classed as suitable for admission but who would benefit from further tuition in English.
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, 11/08/2016