Faculty of Biological Sciences

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 Biological Sciences, 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 protocol is available to staff and to PGRs as a download through the Faculty of Biological Sciences Graduate School Intranet. Hard copies are available on request from the Graduate School Office.
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 Biological Sciences for handling PGR matters

The management structure and responsibilities of key staff are outlined in Annex 1. The Faculty Director of Postgraduate Research Studies has overall responsibility for the academic management of postgraduate research and training. The Postgraduate Research Tutors (admission, progression and international) have responsibility for co-ordinating admission, pastoral care, progression and attendance (including absence reporting) of PGR. The submission of supervision meeting reports via GRAD will be used to monitor attendance of PGRs as well as specified training activities. Tutors should report to the Faculty Director of Postgraduate Research Studies and liaise with the Heads of Schools over strategic issues and the allocation of resources to postgraduate training. The Graduate School Manager is responsible for administering and recording admissions, attendance and progression, and for liaison with the Postgraduate Research and Operations. The Faculty Dean is responsible for provision of resources to implement this Code of Practice.

All strategic and policy decisions regarding Faculty postgraduate research and training are made by the Graduate School Committee or, in the case of cross Faculty schemes, by the appropriate Management Committee. The Graduate School Committee comprises: the Faculty Director of Postgraduate Research Studies, Postgraduate Research Tutors, Research Training Coordinator, Faculty Representatives on the Groups of Graduate Board and PGR Representatives. The Faculty Dean and Pro-Deans have *ex officio* membership of this committee and the Faculty Graduate School Manager and Marketing Manager are in attendance. Agreement to accept research studentship funding allocations, including RCUK awards, endowed scholarships, EU training fellowships, charitable and self funded awards is dependent on the terms and conditions attached to the funding. The Graduate School Committee retains the responsibility for reviewing and accepting or rejecting scholarship funding. The GSC also makes recommendations on allocation of funding from the Faculty Scholarship funds.

All administrative matters are dealt with through the Graduate School Office. PGRs submit all documents regarding admissions, registration, progression, training, and thesis submission via this route. The office receives written reports and other documentation and ensures that they are forwarded to the appropriate Tutor for review and processed on time. All records of progression and training are held in this office and GRAD.

Heads of Schools will ensure that PGRs are provided with access to facilities that are commensurate with their research studies, including laboratory facilities, writing space and access to equipment, computers and library resources and use of a communal area for refreshment breaks. |
| **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.

In the Faculty of Biological Sciences Doctoral Training Grants awards are allocated by the relevant selection subcommittee, chaired by the appropriate Postgraduate Admissions Tutor, acting on behalf of the Graduate School Committee. The Admission Tutors ensure that all PGRs are placed in a supportive research environment.

Prospective PGRs are initially considered by the appropriate Postgraduate Admissions Tutor and potential supervisors on the basis of their written application together with degree transcripts and references. Where appropriate, English Language requirements are checked at this stage. If the quality of the PGR and the scientific fit of the research area are good the applicant is invited for interview. The interview is used to assess whether the candidate is of sufficient standing to be offered an academic place and also, where appropriate, to allocate studentship funding. Studentships are awarded competitively and interviews are normally held to specific pre-advertised deadlines. However, the Faculty is always prepared to consider bringing forward interviews for exceptional candidates or where circumstances require this. Candidates are encouraged to discuss research topics with their potential supervisor(s) prior to interview. All applicants are interviewed by a panel which includes at least two members of staff, one of whom is a Postgraduate Admissions Tutor or their nominated deputy. In the case of international PGRs or those who are overseas, telephone or Skype interviews are used but where possible they are invited to attend an interview in person. Following interview the Postgraduate Admissions Tutors may recommend that the candidate be accepted. The University's Postgraduate Research and Operations is responsible for issuing formal offer letters subject to satisfactory confirmation of eligibility and funding.

It is essential that applicants provide:

- A statement of research interests (this is not a research proposal)
- An up to date CV
- A list of potential supervisors (selected to match research interests)

To complete the processing of applications the Faculty will also require:

- Transcripts of marks from current and previous degrees
- At least one academic reference
- English language certificate (where appropriate)

The Faculty does not specify minimum requirements for entry to postgraduate research degree study over and above those set by the University, however, competition for studentships is high and many successful applicants will have a Masters degree and/or additional relevant research experience.

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.
	The Faculty of Biological Sciences accepts the University minimum requirements for English Language for entry on its PhD Schemes. All PGRs whose first language is not English are encouraged to continue with English Language training after commencing study. English Language is monitored at key progression stages and additional support is arranged as appropriate to each case.

All PGRs whose first language is not English will initially be marked amber upon their arrival and throughout their first few months of study their language will be monitored by their supervisors and a final assessment should be communicated to the Graduate School Office by the 4-month report deadline. This will allow for any concerns to be addressed ahead of the 9-month Transfer report and subsequent viva.

If a PGR demonstrates no concerns regarding their English language proficiency in all areas then the Supervisor should contact the Graduate School and request that the PGR is marked "green".

If a PGR demonstrates concerns regarding their English language proficiency then the Supervisor should contact the Graduate School who will pass this concern on to the Language Centre; the Language Centre will then speak to the Supervisor and discuss implementing intensive one-to-one language support for the PGR. |
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.
	The Faculty of Biological Sciences will communicate information about recommendations for acceptance to applicants and to their potential supervisors.
4.	**Supervision**
4.1	It is the responsibility of the Dean of the Faculty, the Faculty Director of Postgraduate Research Studies or the Head of the School (see note 8) to recommend suitable supervisors for appointment by the Graduate Board (see note 9). Where co-supervisors are appointed, one is to be identified as the main supervisor. The Graduate Board requires members of staff to attend a course on research degree

		supervision organised by the University before being recommended for appointment as a supervisor.
4.2		Supervisors will be provisionally appointed at the time that a PGR receives a formal offer of admission by the University, and this will be confirmed or, where appropriate, alternative arrangements made when the PGR registers. Where only one supervisor is appointed for a PGR an Advisor will also be appointed by the Head of School (see note 8). It is normally the responsibility of the Head of the School to ensure that no supervisor is overloaded with supervisory responsibilities and the position of individual members of staff should be reviewed regularly. Where this responsibility rests elsewhere, the position must be clearly explained in the Faculty Protocol (see note 10).
		The Faculty Director of Postgradaute Research Studies will liaise with Heads of Schools to ensure that no supervisor is overloaded with postgraduate supervisory responsibilities in relation to their overall workload.
4.3		The responsibilities of a supervisor may be summarised as follows:
	(i)	ensuring that the PGR is introduced to the facilities of the Faculty or School and the University that are relevant to the research and that he or she is fully aware of relevant Health and Safety regulations (see note 11);
	(ii)	assisting the PGR in defining the topic which is to be tackled in the course of the research. It is vital that this should give sufficient scope for investigation appropriate to the degree, but not be so large a topic that it cannot be mastered within the normal period of the candidature. Where the research is sponsored by an outside body, the terms of such sponsorship must be carefully considered;
	(iii)	assisting the PGR to clarify the research question which the study seeks to address, and to establish details of the research programme, such as resources required and, where appropriate, the experimental design;
	(iv)	ensuring, in consultation with the Head of School (see note 8), that the PGR has access to the necessary facilities for the research;
	(v)	approving a timetable of work and endeavouring to see that it is followed. Supervisors should emphasise to PGRs that the University attaches great importance to the timely completion of research;
	(vi)	conducting, with the PGR, a training needs analysis within one month of commencement of study and agreeing a training plan;
	(vii)	reviewing the training plan regularly (at least annually) and assisting the PGR in identifying other training needs and in reflecting upon their personal development, for instance by reference to the Statement on Learning Outcomes;
	(viii)	where the programme contains subject specific modules, directing the PGR through the relevant programme of courses;
	(ix)	seeking to ensure that the PGR receives available research training (e.g. by attendance at courses) which may be necessary or appropriate in the individual case;
	(x)	making PGRs aware of any relevant Research Governance requirements

		and ethical procedures and ethical review;
	(xi)	making PGRs aware of the University's [Policy on Safeguarding Data – Storage, Backup and Encryption](#) ;
	(xii)	agreeing a supervisory programme with the PGR and arranging regular meetings with the PGR throughout the programme of study (including the overtime period) (see 4.8 and 4.9 below);
	(xiii)	ensuring that, where appropriate, the PGR is aware of the Faculty/School arrangements for reviewing transfer to full degree registration and that appropriate guidance on preparing for transfer is provided;
	(xiv)	preparing regular reports on the PGR's progress (see 6.1 below);
	(xv)	Ensuring, in partnership with the PGR, that there are written records of formal supervisory meetings on the University's system for maintaining a record of the research degree candidature (Graduate Record of Achievement and Devlepment);
	(xvi)	commenting within a reasonable time on written work submitted by the PGR;
	(xvii)	otherwise advising generally on the research and preparation of the thesis;
	(xviii)	alerting the Postgraduate Research Tutor, in a timely manner, to any situation where it may become necessary to request a suspension or extension of study for a PGR;
	(xix)	reporting to the Postgraduate Research Tutor any suspected instance of research misconduct including plagiarism;
	(xx)	ensuring that the PGR receives written feedback on the assessment of progress, and to draw to the attention of the PGR problems when they arise, (where necessary this should be done in writing);
	(xxi)	taking action to bring to the attention of the Postgraduate Research Tutor any concerns about a PGR's unsatisfactory progress;
	(xxii)	reading and commenting on the whole of the draft thesis prior to submission provided that it is made available by the PGR in reasonable time. It is essential that a timetable for submission of the draft thesis is agreed with the PGR in advance of the maximum time limit which allows the supervisor a reasonable length of time to carry out this duty and for the PGR to act on any comments received. Any planned periods of absence by the supervisor from the University should be taken into account;
	(xxiii)	keeping the Head of School informed of any absences likely to impact upon time available for supervisory duties;
	(xxiv)	sending forward recommendations for the appointment of Examiners to the Faculty/School Postgraduate Research Tutor;
	(xxv)	ensuring that the PGR is aware of the University [arrangements](#) for the examination of research degree theses; and the time limits for submission and ensuring that the PGR receives appropriate guidance about the oral examination including, where requested, a "mock viva";

	(xxvi)	reporting to the Faculty/School when there has been no contact with an individual PGR or when there has been a pattern of absences which is affecting the PGR's progress or causing concern for the PGR's well-being in accordance with the University's attendance monitoring policy;
	(xxvii)	Ensuring that the PGR is aware of the University Publication and Research Data Management policies and knows that these apply to publications in press at the time the PGR leaves the University.
4.4	In circumstances where supervisors leave the University they must ensure that, prior to their departure, the Head of School is notified. In this situation, the Head of the School (see note 8) must satisfy himself / herself that alternative and acceptable supervision arrangements are recommended to the Graduate Board.	
4.5	Where the supervisor is likely to be absent from the University for an extended period, the Head of School (see note 8) should ensure that some appropriate arrangements are made for advising the PGR and that the progress of a PGR is not detrimentally affected by the absence of the supervisor. Where the absence exceeds two months, arrangements will normally be put in place to identify an alternative supervisor or co-supervisor to ensure the continuity of supervision is maintained..	
4.6	PGRs have responsibilities as follows:	
	(i)	To reach agreement with the supervisor on an appropriate training plan;
	(ii)	to carry out research effectively, to attend the University, to present work regularly and to an adequate standard in an appropriate form and against an agreed timescale taking into account any holiday entitlement;
	(iii)	to prepare issues they wish to discuss at supervision meetings and to seek out the supervisor as problems arise;
	(iv)	to agree to a supervisory programme, to maintain regular contact with their supervisor(s) and to attend for formal supervision meetings throughout the programme of study (including the overtime period) (see sections 4.8 and 4.9 below);
	(v)	ensuring, in partnership with the supervisor, that there are written records of formal supervision meetings on the University's system for maintaining a records of the research degree candidature (Graduate Record of Achievement and Development);
	(vi)	to submit, when requested, regular written summaries of overall progress to their supervisors or, where appropriate, Research Support Group, Postgraduate Research Tutor or Head of School;
	(vii)	to comply with normal working arrangements in the School;
	(viii)	to discuss with their supervisor whether any teaching work undertaken will adversely affect the time available for the conduct of the research and make appropriate arrangements;
	(ix)	to comply with Health and Safety requirements;
	(x)	to comply with any ethical requirements or appropriate Research Governance;

	(xi)	to comply with the University's Policy on Safeguarding Data, Storage, Backup and Encryption;
	(xii)	to take measures to attend appropriate training courses, personal development programmes and research seminars in consultation with their supervisor;
	(xiii)	to be familiar with the regulations and procedures of the University relevant to research degree candidatures and to comply with them;
	(xiv)	to ensure that they complete registration and make payment of fees at the appropriate times;
	(xv)	to make use of relevant facilities provided by the University and abide by the regulations specified for the use of these facilities;
	(xvi)	to assist the University in keeping their personal record up to date by cooperating fully with administrative procedures;
	(xvii)	to promptly draw to the attention of the supervisor or Postgraduate Research Tutor when there is a situation where it may be necessary to request a suspension or extension of study. If appropriate, documentary evidence should be provided (eg medical certificate);
	(xviii)	to consult with the Postgraduate Research Tutor or appropriate senior member of staff within the Faculty or School, in confidence, if they have serious concerns about the PGR/supervisor relationship;
	(xix)	to discuss with the supervisor, in good time where possible, should they wish to be away from their research activity for a substantial period (eg in the case of a full-time PGR for more than five working days);
	(xx)	to make available to the supervisor for comment, within an agreed timescale, the whole of the draft thesis prior to submission;
	(xxi)	To ensure that at all times they observe high standards of academic conduct and integrity and are aware of the consequences of failure to observe the University's requirements.
	(xxii)	To comply with the requirements of the University Publication and Research Data Management policies, noting that these will also apply to publications in press at the time the PGR leaves the University and to any associated data.
	The Faculty of Biological Sciences has outlined the following additional responsibilities: (xxiii) Curation and deposition of data and research materials: to ensure that all materials, data (including electronically stored data and computer programmes developed by the PGR), lab books and records of experimental work are clearly labelled and deposited with the supervisor at the end of the project. (xxiv) Study time: full-time PGRs are expected to devote their whole time during their course to the research or programme of research training. Part-time PGRs are normally expected to devote a proportional amount of time (i.e. 60%) to their research or training. It is acceptable for PGRs to undertake some agreed teaching	

duties such as demonstrating and tutoring. However, undertaking such duties should not lead to a reduction in progress towards their main research training goals and outputs. Detrimental progress may lead to a recommendation that the PGR withdraws from such teaching duties.

In addition all PGRs are reminded that in order to be awarded a research degree they must demonstrate that the requirements set out in the appropriate Learning Outcomes for the particular degree programme have been met. Details of the Learning Outcomes for research degree programmes can be found on the Postgraduate Research and Operations web site under "Policies" currently http://www.leeds.ac.uk/rds/policies.html

4.7	PGRs are encouraged to keep Personal Development Plans.

The Faculty of Biological Sciences encourages PGRs to keep personal development plans and requires PGRs to use the online GRAD system, which provides a log of the training delivered and is reviewed on an annual basis*.

Faculty Policy on Training: Within the first month of commencing studies the supervisor and PGR should meet to discuss training requirements and fill in the Training Plan on GRAD.The PGR should also use the Training and Development Needs Analysis Tool, also in the GRAD system). This assessment should involve reflection on the level of current skills and the need to develop new, or improve existing, skills. For PGRs whose first language is not English this would include additional English language training.

Core transferable skills training is provided to all PGRs. Training is integrated into the PhD to develop skills which support research and career development. During each year of the research programme the PGR presents data at the FBS Postgraduate Symposium and receives feedback from supervisors, assessors and other researchers.

Further generic skills training is available through short courses run by the Organisational Development and People Learning Unit (OD&PL)and through external courses. The Researcher Skills Senior Training and Development Officer will give advice to PGRs and supervisors on all generic skills training. In accordance with Faculty recommendations PGRs are required to take on a total of 30 days of training during PhD candidature.
In addition to generic skills training all PGRs may also undertake training to acquire advanced technical skills or to underpin theoretical understanding of their scientific research area. The extent of subject specific training is dictated by the specific PhD Programme. PGRs registered for 4 year awards may undertake either one or two 3 month periods of laboratory based research training (rotations) prior to commencing their PhD research. Those registered for the Wellcome Trust 4 year PhD undertake a full year of training incorporating three laboratory rotations. PGRs registered for 3 year PhD programmes normally begin their research project immediately. The Faculty is committed to excellence in training and all PGRs are encouraged to support the development of specialist skills through short external courses and laboratory visits.

PGRs attend workshops and seminars to enable them to discuss their work and to broaden their understanding of the research area. Normally these are seminars arranged within the Faculty, but given the multi-disciplinary nature of science there are likely to be seminars in other faculties that are of interest and these should be attended where appropriate and recorded in the GRAD system. Each year, PGRs attend at least 10 research seminars given by internal or external speakers. The Graduate School has a budget which PGRs may put an application in to in order to

	support travel and conference attendance should specifically designated travel funding not be built into the studentship. From the beginning of their studies, PGRs are required to maintain the GRAD System and to include information about the objectives of their work, their research plans, the structure of their thesis and feedback from seminars and workshops they have attended. This is presented at all assessments. This type of document is widely used in industrial settings and is intended to be a reflective document that provides the PGR with an opportunity to consider which skills they have acquired as they progress through training. The BBSRC DTP PGRs starting in the Faculty will undergo a three month placement, Professional Internship Placement (PIP). PIPs aim to provide BBSRC funded PhD PGRs with the opportunity to carry out a non-academic work experience placement during their PhD. Such experience is important both to help early career researchers understand the context of their research and to expose them to the range of opportunities available to them after they graduate.
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.
	In the Faculty of Biological Sciences all formal supervision meetings are recorded within the online GRAD system) and these records will be used for attendance monitoring. The Faculty of Biological Sciences adheres to the University policy. Where PGRs are conducting field based research or working overseas for periods of time the Faculty accepts that supervision meetings may be conducted via e-mail or over a telephone link – this can be indicated within the system.
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.

	In the Faculty of Biological Sciences the Primary Supervisor allocates an appropriate research support group to each PGR. In assembling the support group they liaise, where necessary, with Heads of Schools and with the Postgraduate Research Tutor to ensure that appropriate support is provided to the PGR. The faculty has a recommended model of supervision

- • Main Supervisor
- • Co-Supervisor
- • Assessor
- • 2nd Assessor (if appropriate)

Co-Supervision: This is where academics have joint responsibility for the PGR. It is expected that both contribute to the academic and administrative support for the project. There is a main supervisor and a co-supervisor. The co-supervisor is involved in the transfer viva and provides feedback on key training exercises. The PGR also has an academic assessor and their role is to independently assess and evaluate PGR progress; they are responsible for providing formative feedback. Postgraduate Progression Tutors, where appropriate, may also appoint a 2nd Assessor who can provide advice to the PGR and be present as an additional independent assessor at the nine-month transfer viva. If this is the case, only one of the supervisors needs to be present at the transfer viva. Additional external or internal co-supervisors or project advisors may be added to the supervisory team.

All PGRs are allocated an independent advisor who is normally the relevant Postgraduate Progression Tutor (or nominee).

The same individual may act as the independent assessor at the "transfer" stage and as the Internal Examiner. However, if an assessor is to act subsequently as an Internal Examiner then University regulations do not permit involvement in the assessment and monitoring of the work subsequent to the transfer review (for example reading and commenting on interim 2nd and 3rd year reports).

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.	
	Monitoring and Advice: Within the Faculty of Biological Sciences the responsibilities of the PGR and the supervisor are clearly laid out. The PGR/supervisor relationship is monitored by the relevant Postgraduate Progression Tutor. If a supervisor is absent for a short period of time the co-supervisor takes responsibility for the PGR. Where the supervisor is absent for more than three months the relevant Postgraduate Progression Tutor reviews the arrangements to appoint a replacement supervisor. Postgraduate Progression Tutors also review arrangements if a member of a supervisory group leaves the University. In the event that the supervisor/PGR relationship is not working well and tensions have not been resolved in discussion with other members of the supervision group the PGR should approach the relevant Postgraduate Progression Tutor. Postgraduate Progression Tutors are experienced and able to deal with supervisory issues sensitively and in confidence. If the PGR does not wish to approach the Postgraduate Progression Tutor they may request the appointment of an independent advisor at any stage of their research programme. Alternatively they may speak directly with the Faculty Director of Postgradaute Research Studies. After 4 months of study PGRs submit a short report to the supervisory team and assessors (see below for details). This opportunity is also used to assess the PGR's working relationships and interaction with the research group. The supervisor is asked if the PGR is likely to have problems at the transfer stage. If there are serious concerns at this stage the supervisor should discuss these with the PGR and may wish to involve other staff, such as the Postgraduate Progression Tutor. The Graduate School Committee recommends open and frank discussion between the supervisor and PGR at all stages of the project so that there is a good understanding of expectations and perceived achievements. Thereafter PGRs have an opportunity to talk privately with their assessor at annual review meetings. PGRs may also approach PGR representatives to raise issues over Faculty or University-wide support for their studies. The representatives will take up these concerns as appropriate, with the Heads of Schools, via the Graduate School Committee or through the Student Union. The Postgraduate Progression Tutors monitor training records and monthly reports to ensure that the PGR is progressing normally. If they have any concerns they may approach the PGR or supervisor directly. Any PGR experiencing difficulties in their research candidature may approach any member of their supervisory team. PGRs are advised to bring issues to relevant Postgraduate Progression Tutor at their earliest convenience. Postgraduate Progression Tutors are experienced with dealing with issues sensitively and in confidence. A PGR who wishes to make a formal complaint should address this in the first instance to the Faculty Director of Postgraduate Research Studies. The Postgraduate Progression Tutors will issue a formal invitation for a confidential appointment to all postgraduates on an annual basis. PGRs may request a meeting at any time during their candidature.	
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.
	In the Faculty of Biological Sciences Postgraduate Research Tutors assess the progress of postgraduate projects and make recommendations to the Graduate School Committee, which has authority for all admission, registration, progression and termination decisions subject to the approval of the University's Graduate Board. PGRs should have a minimum of ten formal recorded meetings per year with their supervisors via the online GRAD system. The PGR or supervisor can request that the PGR's advisor is present at these meetings. The meetings require a short online report from the PGR addressing progress during the previous month, possible problems and a research plan for the next month. The supervisor will provide notes to this report as necessary. A copy of the final report should be signed off online by both the supervisor and PGR. In cases where a PGR is overseas or working at a distant location there should be appropriate documented communication, by e-mail to monitor progress and a record of this held in GRAD. PGRs who do not have a complete set of reports (at least 10, 6 if part-time) are not allowed to register for the next academic year. Within 4 months of the start of the PhD research project the PGR submits a short written report, this will normally be in form of either a research proposal or of a 'Trends' style review. The review is read and discussed by the supervisor(s) and the assessor and feedback is given to the PGR at a 4 month review meeting. Normally, within 9 months of commencing their PhD project, the PGR submits a transfer report on their work to date and future plans via the GRAD system. The report should be approximately 8,000 words in length and should contain a brief introduction citing the background to the research project, a summary and analysis of the experimental data generated to date, together with a brief summary of future plans. The transfer report and the PGR's record of training undertaken to date form the basis for a transfer viva at which an academic panel will decides whether progress is sufficient to allow registration of the PGR for either a PhD or M Phil. The panel includes the supervisor, co-supervisor or project advisor and the independent assessor(s). The Postgraduate Progression Tutors reserve the right to sit on any transfer meeting. At some point during the transfer viva the supervisor is asked to leave the room to allow discussion of the quality of supervision and the PGR's interaction with the supervisor. The recommendation of the panel is passed to the Postgraduate Progression Tutors for approval.

| | In cases where the panel recommends deferral of the decision to transfer, a member of the postgraduate progression panel (The Postgraduate Progression Tutors or the Faculty Director of Postgraduate Research Studies) is present at the second transfer viva.

The outcome of the transfer viva is recorded electronically via the PGR's GRAD record.. If a PGR fails this second transfer viva the panel may recommend transfer to MPhil registration or cessation of studies.

At the end of the second year or during third year (depending on programme) PGRs submit a draft or actual research paper together with an outline of the thesis. PGRs must submit this paper in order to register for their final year. The paper is reviewed by the supervisory team and formal written feedback is provided to the PGR and to the Postgraduate Progression Tutor. It there are any concerns over the progress of the project the Tutor will arrange to meet with the PGR and/or the supervisor to give advice and guidance.

6 months prior to submission PGRs should consider an updated thesis plan and speak to their supervisor to review progress and ensure they are on-track to submit within their maximum time limit.

All PGRs are encouraged to submit their thesis by the end of the standard period of study (normally 3 years). PGRs are offered training in oral examination prior to submission of the thesis. Each PGR is required to attend an oral examination with at least one external and one internal examiner. Arrangements for examination are laid out in the University Code of Practice (Section 10). The internal examiner will set the date for the viva and liaise with the Graduate School Office regarding the arrangements.

MSc by Research candidates are required to submit the Trends Style Review/Grant Proposal within 4 months of starting and the thesis plan 6 months prior to submission.

NB The assessment deadlines are adjusted pro-rata for part time PGRs. |
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| 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.
	The Faculty of Biological Sciences normally requires submission of the PGR's transfer report within 9 months of the start of the PhD research project; this excludes periods of formal training such as laboratory rotations. The transfer panel normally comprises three members of staff, including the supervisor and assessor together with the co-supervisor, project advisor or second assessor as appropriate to the Model of Supervision (see section 5). The Postgraduate Progression Tutor will attend in addition to the above in the event of a re-viva. A PGR's transfer report is normally 5,000 to 8,000 words in length with the following structure. Title Page: Title of project, Name of PGR, supervisor and assessor. Content listing Abstract (maximum of 500 words)Introduction (background and literature review) Objectives of the project (maximum of 500 words) Methods Results Statement on direct ethical implications Discussion Future work (including timescales and milestones) References The panel evaluate the report under 6 assessment categories including the quality of report; progress made; understanding of the project and relevant background literature; breadth of general scientific background knowledge, strength of personal profile (including seminar attendance, scientific meetings, training courses, etc) and future plans	
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.	
	There are up to 5 (one from each school and an international rep) PGR representatives from across the Faculty who sit on the Biological Sciences Graduate School Committee. Representatives liaise with the the Graduate School, Faculty Graduate School Director and Graduate School Committee directly over support for PGRs and coordinate actions on behalf of the student 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 Dean of the Faculty of Biological Sciences, through the Heads of Schools, will ensure adequate provision of facilities for full-time PGRs. These will include sufficient flexible work and storage space, opportunities to interact with researchers and academic staff, and access to computers, printers, photocopiers, and telephone as stipulated in the University's Code of Practice.
	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.	<u>**Assessment processes for research qualifications**</u>
	The Graduate Board prescribes arrangements whereby the criteria, regulations and learning outcomes for the award of different types of research degrees are clear, rigorous and widely available.
	The Graduate Board publishes eligibility criteria for the appointment of Examiners. As a minimum two appropriately qualified Examiners are appointed for each candidate with at least one Examiner being external to the institution. Internal Examiners are required to attend a University training course before acting in this capacity. No member of staff who has been substantially involved in the research may serve as an Internal Examiner. Responsibility for the consideration and review of recommendations from Schools for the appointment of Examiners is delegated by the Graduate Board to its specialist Examinations Group, which monitors the frequency of appointments of examiners.

	In order to ensure consistency within the examination process Examiners receive written instructions on the relevant University procedures together with the criteria for the recognition of different levels of achievement. These instructions are widely available within the University.
	After the submission of the thesis all candidates for research degrees are required to undergo an oral examination with the appointed Examiners and:
	- the examination should normally take place within a maximum time scale of three months from the date of the dispatch of the thesis to the Examiners; - the Examiners must prepare separate, independent written reports before the viva and, following the viva, a joint report which contains a recommendation in accordance with the stipulated University criteria; - a supervisor may be an observer at the examination at the request of the PGR and if not present must be available for consultation with the Examiners if required; - the Examiners should advise the candidate informally of the recommendation being sent forward, normally within 24 hours of the completion of the oral examination. The details will depend upon the precise recommendations being sent forward. Where appropriate, information about the University appeals procedure (see 7.3 above) must be provided to the candidate.
	University Monitoring
	The Graduate Board requires its Examinations Group to monitor and review all aspects of the examination, including the selection of examiners, the implementation of the procedures, the nature and details of the reports and the overall performance of candidates and staff within Schools and Faculties.

Endnotes

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

PGRO/ST, Ext 35778, 14/09/17

Faculty Education Service Manager

Director of Postgraduate Research Studies

Graduate School Office

Academic Postgraduate Research Team

Graduate School Manager

Graduate Education Service Officer (Admissions)

Graduate Education Service Officer (Progression and Demonstrating)

Wellcome Trust Programme Administrator

Graduate School Service Assistant

Admissions

Progression/Training

Molecular & Cellular Biology Admissions Tutor

Astbury Progression Tutor

Biomedical Sciences Admissions Tutor

Molecular & Cellular Biology Progression Tutor

Biology Admissions Tutor

Biomedical Sciences Progression Tutor

International Admissions Tutor

Biology Progression Tutor

Director of Wellcome Trust Scheme

List of current post holders and their term of office

Member Role	Term of Office	
Professor Alan Berry	Director of Postgraduate Research Studies	1 Sept 2015 – 31 Aug 2018
Dr Martin Stacey	Admissions Tutor (Molecular & Cellular Biology)	1 Sept 2014 – 31 Dec 2017
Dr Graham Askew	Admissions Tutor (Biomedical Sciences)	1 Sept 2016 – 31 Aug 2019
Dr Christopher Hassall	Admissions Tutor (Biology)	1 Sept 2016 – 31 Aug 2019
Dr Vas Ponnambalam	Admissions Tutor (International)	1 Sept 2015 – 31 Aug 2018
Professor Alan Berry	Director of Wellcome Trust Scheme	Ends 30 Sept 2017
Professor Peter Meyer	Progression Tutor (Biology)	1 Sep 2014 – 31 Aug 2017
Prof Alison Baker	Progression Tutor (Molecular & Cellular Biology)	1 Sep 2016 – 31 Aug 2018
Dr Joan Boyes	Progression Tutor (Astbury)	1 Sep 2017 – 31 Aug 2019
Dr Ronaldo Ichiyama	Progression Tutor (Biomedical Sciences)	1 Sep 2016 – 31 Aug 2018
Ms Claire Smith	Faculty Education Service Manager	NOT APPLICABLE
Ms Jennifer Rivas Rerez	Senior Training & Development Officer	NOT APPLICABLE
Mrs Angie Wade	Marketing Manager (FBS & FMH)	NOT APPLICABLE
Ms Sarah Hudson	Marketing Officer	NOT APPLICABLE
Miss Lucy Parker	Graduate Education Service Manager	NOT APPLICABLE
Mrs Martha Smith	Graduate Education Service Officer: Research Postgraduate Admissions	NOT APPLICABLE
Ms Caroline Murphy	Graduate Education Service Officer: Progression and Demonstrating	NOT APPLICABLE
Mrs Hazel Jones	Wellcome Trust Secretary	NOT APPLICABLE
VACANT	Graduate Education Service Assistant	NOT APPLICABLE