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| **STUDENT EDUCATION SERVICE**  DOCTORAL COLLEGE PROGRAMMES(v1 2019/20) |  |

# Collaborative Provision Approval

**Stage 2: Programme Development and Due Diligence \***

After Outline Planning Approval has been granted for a proposal, the proposing School/Faculty may proceed with work on the due diligence and programme development process. This must be endorsed by the required signatories at the base of the form before the proposal can be considered for approval.

### **(1) The Collaboration**

|  |  |
| --- | --- |
| University of Leeds School / Faculty / Division / Unit |  |
| Name, Role and Contact Details of proposer |  |
| Principal Academic Lead (if different from proposer) |  |
| Proposed Partner Institution(s) |  |

### **(2) Due Diligence**

### **2.1 Financial Statement**

*Please use the template provided in Annex A.*

|  |  |  |
| --- | --- | --- |
| The Business Plan is endorsed by: | Signature | Date |
| **Faculty Finance Manager** |  |  |
| **Dean of Faculty** |  |  |

### **2.2 Risk Assessment Management Plan**

*Please use the template provided in Annex B.*

### **2.3 Site Visit Report**

*Please see attached form in Annex D.*

### **2.4 Due Diligence Confirmation**

### *The International Office will liaise with the University Legal Adviser to complete this section. Please complete the remainder of the form first.*

|  |  |
| --- | --- |
| Confirmation of Due Diligence Enquiry I have received the documentation as required and confirm that on the basis of the information supplied, the University of Leeds may safely contract with the partner institution for the purpose of delivering the collaborative arrangement as detailed in the Outline Planning Approval form, subject to formal approval. | |
| Signature of University Legal Adviser | **Date** |
|  |  |

**(3) Recruitment**

### **3.1 Marketing**

*This section should be completed by the Faculty Marketing Manager or equivalent role-holder.*

|  |  |
| --- | --- |
| **Completed By:** | **Date:** |
| **(3.1.1)** Further to the information provided in the Outline Planning Approval form (Stage 1 Form), please provide information on the marketing positioning and potential demand for this arrangement. |  |
| **(3.1.2)** How will responsibility for marketing and publicity be managed and by whom? |  |
| **(3.1.3)** Where marketing of Leeds’ programmes and awards is undertaken by the partner, please explain how this will be vetted to ensure accuracy and appropriate representation (as per University policy)? |  |

### **(4) Student Education**

*This section requires information relating to all PGR education matters that will underpin the programme on a day-to-day basis and support its development, including quality assurance and PGR support. Proposers should, if required, seek guidance from relevant colleagues and services (e.g. Doctoral College, Head of Graduate School) in completing this section.*

***Boxes marked with a double asterisk\*\* may also require input from the partner institution.***

**4.1 Management and Governance**

|  |  |  |
| --- | --- | --- |
| **(4.1.1) \*\***Please provide details of which committee will formally manage the programme (e.g. via a School, Faculty or a joint programme committee). Please append the Terms of Reference and membership of all committees specifically tasked to oversee the arrangement. | |  |
| **(4.1.2)** Please provide details of the committees within the Leeds deliberative structure which will receive and endorse reports and decisions made in relation to the arrangement. | |  |
| **(4.1.5) \*\***Please provide details of partner supervisors involved in the collaboration, and details of how they will be appointed, inducted and supported. | |  |
| **4.3 Arrival and Induction** | | |
| **(4.3.1)** When will Postgraduate Researchers be able/required to register at Leeds? NB. Postgraduate Researchers are not entitled to full access to University resources until they have completed registration. | |  |
| **(4.3.2)** What support will be available to Postgraduate Researchers in completing registration at Leeds if they require it? | |  |
| **(4.3.3)** Please provide details (including a schedule, if available) for Postgraduate Researcher induction at Leeds. | |  |
| **(4.3.4)** What information/documentation will Postgraduate Researchers receive relating to their research degree at Leeds (e.g. handbook, library research skills training )? Please specify who will be responsible for providing this information/organising these events. | |  |
| **4.4 Postgraduate Researcher (PGR) Support** | | |
| **(4.4.1)** Please outline details of provision for academic and pastoral support for Postgraduate Researchers during their time at Leeds . | |  |
| **(4.4.2) \*\***What academic and pastoral support services are available to Postgraduate Researchers at the partner institution (e.g. personal tutoring system, students’ union, careers service)? (This includes what will be available at the partner institution) | |  |
| **4.5 Quality Assurance** | | |
| **(4.5.1)** \*\*Please explain the mechanisms for monitoring and reviewing the programme. | |  |
| **(4.5.2)** \*\*What opportunities will Postgraduate Researchers have for representation during their candidature ? | |  |
| **(4.5.3)** \*\*What opportunities will Postgraduate Researchers have for giving feedback, in relation to their candidature and non-academic matters? | |  |
| **4.6 Assessment and Standards**  **It is expected that milestones and progression will follow the standard University of Leeds arrangements unless this is specified differently in the linked Programme Specification for this arrangement** | | |
| **4.7 Academic Integrity** |  | |
| **(4.7.1)** \*\*How will instances of misconduct in academic research, cheating or plagiarism be managed in the context of the collaboration? |  | |
| **4.8 Appeals and Complaints** | | |
| **(4.8.1)** \*\*Please specify how PGR complaints (relating to Leeds, the partner institution or both institutions) will be handled (e.g. who will manage the complaint, what mechanisms will be employed to deal with complaints relating to academic and non-academic matters). | |  |
| **(4.8.2)** \*\*How will PGR appeals be dealt with in the context of the collaboration? | |  |

### **(5) Awards and Graduation**

|  |  |
| --- | --- |
| **(5.1.1)**\*\*Please provide details pertaining to the production of certificates and transcripts, including the wording to be used, where agreed. |  |
| **(5.1.2)** \*\*How will awards be conferred (e.g. through separate or joint degree ceremonies)? |  |

### **(6) Regulatory Framework (Joint Awards only)**

|  |  |
| --- | --- |
| **(6.1.1)**\*\*Have the partner institution’s Rules for Award (or equivalent regulations) been consulted? |  |
| **(6.1.2)** \*\*Please note where the partner’s regulations and quality assurance framework varies from the University of Leeds. |  |

### **(7) Expectations (Joint Awards only)**

**7.1 Partner Expectations**

|  |  |  |
| --- | --- | --- |
| **(7.1.1)** \*\*Please outline any expectations on which the partnership is contingent. (e.g. this may be programme accreditation or regional administrative approval to be able to offer the joint award). |  | |
| **7.2 Leeds Expectations** | | |
| **(7.2.1)** \*\*Please explain how the partner institution have been advised of our regulations and the frameworks supporting UK Higher Education (e.g. the Framework for Higher Education Qualifications and the UK Quality Code). | |  |

### **(8) Endorsement and Approval**

|  |  |  |
| --- | --- | --- |
|  | **Signature** | **Date(s)** |
| Endorsed by the Chair of the Faculty Graduate School Committee |  |  |
| Endorsed by the Head of School |  |  |
| Endorsed by the Faculty Pro-Dean International following consultation\* with the Faculty Executive Dean  \*to have included consideration of the financial case |  |  |
| Approved by Postgraduate Research Programmes and Quality Group |  |  |
| Approved by GB |  |  |

# Checklist for Programme Development and Due Diligence

**Required Documentation**

|  |  |
| --- | --- |
| **Document** | **Attached (Y/N)** |
| Stage 2 document |  |
| Annex A: Financial Statement |  |
| Annex B: Risk Assessment Management Plan |  |
| Annex C: Link Academic Lead Role Descriptor |  |
| Annex D: Site Visit Report |  |
| Draft Legal Agreement |  |
| Programme Specification (including new modules if applicable) |  |

**Useful Key Contacts (it is expected that all contacts will have been consulted at the Outline Planning Approval stage)**

|  |  |  |
| --- | --- | --- |
| **International Office Partnerships Team** | | |
| Claire Mulholland | Global Engagement and Partnerships Manager | [c.e.mulholland@leeds.ac.uk](mailto:c.e.mulholland@leeds.ac.uk)  x.34080 |
| Matthew Butler | International Partnerships Support Officer | [m.butler@leeds.ac.uk](mailto:m.butler@leeds.ac.uk)  x31153 |
| **Doctoral College Programmes** | | |
| Christina Robinson | Head of Doctoral College Programmes | c.robinson@adm.leeds.ac.uk  x.34001 |

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| Programme Development and Due Diligence Annex A: **Financial Statement**  *The table should be completed by the Faculty Finance Manager and endorsed by the Faculty Dean (see 2.1). If any additional information is required, please copy it into this document or include it as an attachment. Low case and high case scenarios refer to the agreed minimum and maximum Postgraduate Researcher intake numbers* ***per cohort\*****.*   |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | |  | **Low Case Scenario** | | | | | **High Case Scenario** | | | | | |  | Year 1 (e.g. 19/20) | Year 2 | Year 3 | Year 4 | Year 5 | Year 1 (e.g. 19/20) | Year 2 | Year 3 | Year 4 | Year 5 | | **STUDENT INTAKE PER COHORT** |  |  |  |  |  |  |  |  |  |  | | **INCOME** |  | | | | | | | | | | | Proposed fee per Postgraduate Researcher |  |  |  |  |  |  |  |  |  |  | | Net Allocation (the amount the school receives) |  |  |  |  |  |  |  |  |  |  | | Other sources of income (please include details) |  |  |  |  |  |  |  |  |  |  | | Insert additional lines as necessary |  |  |  |  |  |  |  |  |  |  | | **TOTAL INCOME** |  |  |  |  |  |  |  |  |  |  | | **EXPENDITURE** |  | | | | | | | | | | | ***Direct Expenditure*** |  | | | | | | | | | | | Staff Costs |  |  |  |  |  |  |  |  |  |  | | Non-Staff Costs (please include details) ie Benchfees |  |  |  |  |  |  |  |  |  |  | | Insert additional lines as necessary |  |  |  |  |  |  |  |  |  |  | | ***Indirect Expenditure*** (please list categories below)  Ie. Marketing, Travel, accommodation if Viva off campus |  | | | | | | | | | | | Insert additional lines as necessary |  |  |  |  |  |  |  |  |  |  | | **TOTAL EXPENDITURE** |  |  |  |  |  |  |  |  |  |  | | **PROJECTED SURPLUS** |  |  |  |  |  |  |  |  |  |  |   \*a minimum cohort of **10** Postgraduate Researchers over the 5 year period of the agreement for a dual or joint degree proposal |  |  |  |

# Programme Development and Due Diligence

Annex B: **Risk Assessment Management Plan**

**Type of Collaboration (e.g. Dual Award, Joint Award) BETWEEN Faculty/School of XXXX AND XXXX**

*The assessment should include all identified risks associated with the academic, financial, legal, administrative, cultural and logistical remit of the collaboration.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of Risk | Approach to Management/Mitigation | Risk level  (low/medium/high) | | |
| Pre Mitigation | Post Mitigation | |
| *e.g. Failure to recruit enough Postgraduate Researchers to sustain the partnership* | *Detailed market research was undertaken at the outset of discussions and has concluded there is a strong and sustainable recruitment market. The institutions have agreed an established strategy to promote the partnership to potential Postgraduate Researchers, to include the production of detailed, attractive marketing material and regular visits by Leeds staff to the partner institution.* | *Eg. Medium* | | *Low* |
| Eg. Experience of in offering degree collaborations with UK HE institutions |  |  | |  |
| Eg. Prior experience in delivery of joint / dual PhD awards |  |  | |  |
| Eg. Loss of a supervisor at the partner institution during the course of the candidature |  |  | |  |
| Eg. Lack of access to specific resource to undertake the research at the partner institution |  |  | |  |
| Eg Loss of a research area at the partner institution |  |  | |  |
| Eg. Inability of the PGR to travel to or be resident for the one or two years at the partner institution as required for the programme |  |  | |  |
| Eg, Unable to obtain Ministry approval for the award |  |  | |  |

# Programme Development and Due Diligence

**Annex C: Principal Academic Lead Role Description**

*All Collaborative Provision arrangements must have a named Principal Academic Lead who takes responsibility for oversight of the arrangement on behalf of the University.*

*The Collaborations and Partnerships Committee provides this template role description to assist Schools and Faculties in meeting this requirement. The template should be amended as applicable and submitted with approval/review documentation as required.*

*In cases where the entire programme is delivered collaboratively, the Principal Academic Lead role will often be combined with that of programme lead.*

|  |  |
| --- | --- |
| Arrangement Description (including list of partner institutions) |  |

**The role of the Principal Academic Lead is:**

1. To act as the named contact for oversight of the arrangement.
2. To keep in contact, as required, with key contacts:
   1. within the School and Faculty Graduate School ( Head of Graduate School, Director of Postgraduate Research Studies, Head of School, and Pro Dean (International));
   2. within the University (the International Office, Doctoral College, and the Legal Advisor);
   3. with the partner institution(s).
3. To produce an annual academic review report in accordance with the terms of the legal agreement as required. This should include (as appropriate to the arrangement) any changes to the agreed arrangements for delivery of the programme, marketing and recruitment, PGR numbers, PGR progression, PGR evaluation and satisfaction.
4. To ensure that PGR support arrangements for PGRs at Leeds, including induction and support, are effective with respect to PGRs entering on this arrangement.
5. To have a broad view (as appropriate to the arrangement) of marketing and recruitment, PGR numbers, and PGR progression and examination outcomes. (As arrangements can be interdisciplinary and therefore cross several schools, the Director of Postgraduate Research Studies in the ‘lead’ School will maintain responsibility for the candidature.) To ensure the currency and accuracy of relevant publicity and induction materials and PGR handbooks in relation to the arrangement.
6. To monitor any proposed changes to the research degree programme (including those arrangements at the partner(s)institution) to ensure that the arrangements remain coherent and continue to support the candidature.
7. To ensure that any proposed changes are reported, agreed and communicated to all Supervisors and Directors of Postgraduate Research Studies in the different schools if they have PGRs involved in the arrangement.
8. To report to the Graduate School Committee at least annually on the arrangement and at other times as required.
9. To ensure that any proposed changes to the management of the arrangement are approved by the relevant committee(s) and reflected in any necessary revisions to the legal agreement.

|  |  |
| --- | --- |
| Name of nominee |  |
| *Has the allocation of workload been considered to allow the named individual to undertake this role.* | |
| Signature of Head of School | *The school acknowledges the workload to be undertaken by the nominee for this role* |
| Date |  |

|  |  |
| --- | --- |
| Programme Development and Due DiligenceAnnex D:Collaborative Provision Approval **Site Visit Report**  **The site visit may be waived if the University has a commensurate existing relationship with the partner institution. Please contact International Office for further advice.** | http://www.leeds.ac.uk/identitymanagement/assets/big_logo_new.gif |

### **(1) The Collaboration**

|  |  |
| --- | --- |
| School / Faculty / Division / Unit |  |
| Proposal Name / Partner Institution(s) |  |
| Name, Role and Contact Details of Proposer |  |

### **(2) Site Visit Arrangements**

|  |  |
| --- | --- |
| Institution/Department Visited |  |
| Date(s) of the Visit |  |
| Principal contact at the partner institution  (name and role) |  |
| Leeds reviewer (name and role) |  |

### **(3) Site Visit Report Summary**

|  |
| --- |
| Please provide a narrative report indicating whether, on the basis of the site visit, you support the proposed collaboration and any issues that need to be addressed. |
|  |

### **(4) Site Visit Checklist**

*Please comment on the suitability of the physical spaces and environment. Comments should be sufficiently detailed in order to provide assurance that the partner institution operates according to standards comparable to the University of Leeds.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Facilities** | | **Comments** | **Confirm checked** *delete as applicable* |
| 1. Are there appropriate specialist facilities/ equipment to undertake the Research project | |  | YES/NO |
| 2. Will the research environment support the work to be undertaken (ie contact with experienced researchers and academic staff/ research groups) | |  |  |
| 2. Are the library facilities sufficient to support the research to be undertaken and level of work required | |  | YES/NO |
| 3. Do the laboratory facilities offer the what is required to undertake both the project and level of work required (if applicable to the arrangement) | |  | YES/NO |
| 4. Are the IT facilities sufficient to support the research to be undertaken | |  | YES/NO |
| 5. Availability of sufficient accommodation, accessible work space and storage space for PGRs. | |  | YES/NO |
| 6. The needs of PGRs with disabilities have been taken into account. | |  |  |
| 7. Non-academic facilities (e.g. cafes, social and common areas) | |  | YES/NO |
| ADDITIONAL COMMENTS |  | |  |

**(5) Structures, Policies and Procedures**

*These provisions may be checked during the course of the site visit or remotely. Comments should be sufficiently detailed in order to provide assurance that the partner institution operates according to standards comparable to the University of Leeds.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **5.1 Administration and Staffing** | | **Comments** | | **Confirm checked** *delete as applicable* |
| **(5.1.1)** Is supervisory capacity appropriate to maintain supervision provision? | |  | | YES/NO |
| **(5.1.2)** How are staff qualifications and experience reviewed to undertake supervisions? | |  | | YES/NO |
| **(5.1.3)** What opportunities do PGRs have to contact staff outside of organised supervisory sessions? | |  | | YES/NO |
| **(5.1.4)** Are administrative (and technical, if applicable) staffing levels adequate, and are staff appropriately qualified and experienced? | |  | | YES/NO |
| **(5.1.5)** How are PGR records organised and stored? | |  | | YES/NO |
| ADDITIONAL COMMENTS |  | | |  |
| **5.2 Management of Quality** | | | **Comments** | **Confirm checked** *delete as applicable* |
| **(5.2.1)** Is institutional and/or department-level guidance provided on (please describe where this is published and its level of clarity): | | |  |  |
| a. Attendance requirements | | |  | YES/NO |
| b. Progression and award requirements | | |  | YES/NO |
| c. Deferral at Transfer / Qualification or equivalent process(as appropriate) | | |  |  |
| d. Assessment criteria | | |  | YES/NO |
| e. Resubmission | | |  | YES/NO |

|  |  |  |  |
| --- | --- | --- | --- |
| **(5.2.2)** Are there mechanisms and procedures in place to deal with the following: | |  |  |
| a. Monitoring PGR performance (individually and collectively) | |  | YES/NO |
| b. Reviewing programme provision | |  | YES/NO |
| c. External oversight (e.g. External Examiners/moderators, accreditation bodies) | |  | YES/NO |
| ADDITIONAL COMMENTS |  | | YES/NO |

|  |  |  |  |
| --- | --- | --- | --- |
| **5.3 Governance** | | **Comments** | **Confirm checked** *delete as applicable* |
| **(5.3.1)** Are the following governance structures in place (at institutional and/or local level)**:** | |  |  |
| a. Research Degree committee | |  | YES/NO |
| b. PGR-staff forum (or equivalent) | |  | YES/NO |
| c. Examination group /boards (or equivalent) | |  | YES/NO |
| d. Departmental staff meeting (or equivalent) | |  | YES/NO |
| f. Overall Governing Body | |  | YES/NO |
| **5.4 PGR Feedback** | |  |  |
| **(5.4.1)** What mechanisms are in place for the provision of PGR feedback? | |  | YES/NO |
| **(5.4.2)** How is PGR feedback reviewed and responded to? | |  | YES/NO |
| **5.5 PGR Support and Welfare** | |  |  |
| **(5.5.1)** What guidance is available to PGRs relating to further study, employability and careers? | |  | YES/NO |
| **(5.5.2)** What facilities, provisions and guidance are available to support PGRs experiencing academic issues? | |  | YES/NO |
| **(5.5.3)** What facilities, provisions and guidance are available to support PGRs with non-academic issues (e.g. mental health difficulties, housing problems)? | |  | YES/NO |
| ADDITIONAL COMMENTS |  | |  |

Version: March 2019 : Stage 2 PGR Collaborative Approval