



**UNIVERSITY OF LEEDS**



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# **Guide for Research Degree Supervisors 2015-2016**

This Guide should be read in conjunction with the [Code of Practice for Research Degree Candidatures](#) and the [Ordinance and Regulations and Programmes of Study for Research Degrees](#)

### *Important*

This Guide was published in November 2015. Whilst the University tries to ensure information contained is accurate at the time of publication, some of the information may change at a later date.

### *Code of Practice for Research Degree Candidatures*

The University has a [Code of Practice for Research Degree Candidatures](#) which sets out the minimum standards of procedure in connection with the supervision of research degree students at the University of Leeds and provides a framework of shared responsibilities between the University, supervisors and students. All students receive a summary of the Code, with their acceptance letter.

Much of the [Research Student Handbook](#) and Guide for Research Degree Supervisors is based on the Code but is in an easier to read format, with cross-references to the Code and other official documents at the relevant points. It is important that supervisors become familiar with the content of the Code and with other formal documents.

The Code of Practice for Research Degree Candidatures and all other key policies and documents relevant to Research degrees can also be found on the [Postgraduate Research and Operations website](#). The Code of Practice for Research Degree Candidatures can also be found as Annex I of this guide.

### *Partnership Agreement*

The Partnership has been developed by students and staff and describes the mutual expectations of us all as members of the University community. For more information see: <http://partnership.leeds.ac.uk/>.

## ACCESS

Should you require information in an alternative format (e.g. Braille, large print, e-text or audio formats) please contact Postgraduate Research and Operations.

Email: [rsa.communications@leeds.ac.uk](mailto:rsa.communications@leeds.ac.uk)

Tel: 0113 343 5778

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# 1 Introduction

This Guide is intended to provide relevant and useful information for research degree supervisors, to enable them to provide the appropriate level of support to their research students. It sets out the roles and responsibilities of supervisors, as well as the correct procedures for dealing with all aspects of the research degree process. This includes selection of subject, induction, ethical and other issues, transfer, monitoring progress, submission, examination and completion. Useful information about Postgraduate Research and Operations is also included and reference is made to relevant regulations, codes, policies and procedures which are available in full on the policies section of the [Postgraduate Research and Operations website](#)

Supervisors should be aware of all these documents and related issues. Particular attention should be paid to the University Code of Practice for Research Degree Candidatures which underpins all the University's arrangements and also to the relevant Faculty Protocol for the implementation of the Code of Practice

In addition supervisors should be aware of the Home Office arrangements for student visas under the Tier 4 Points Based System.

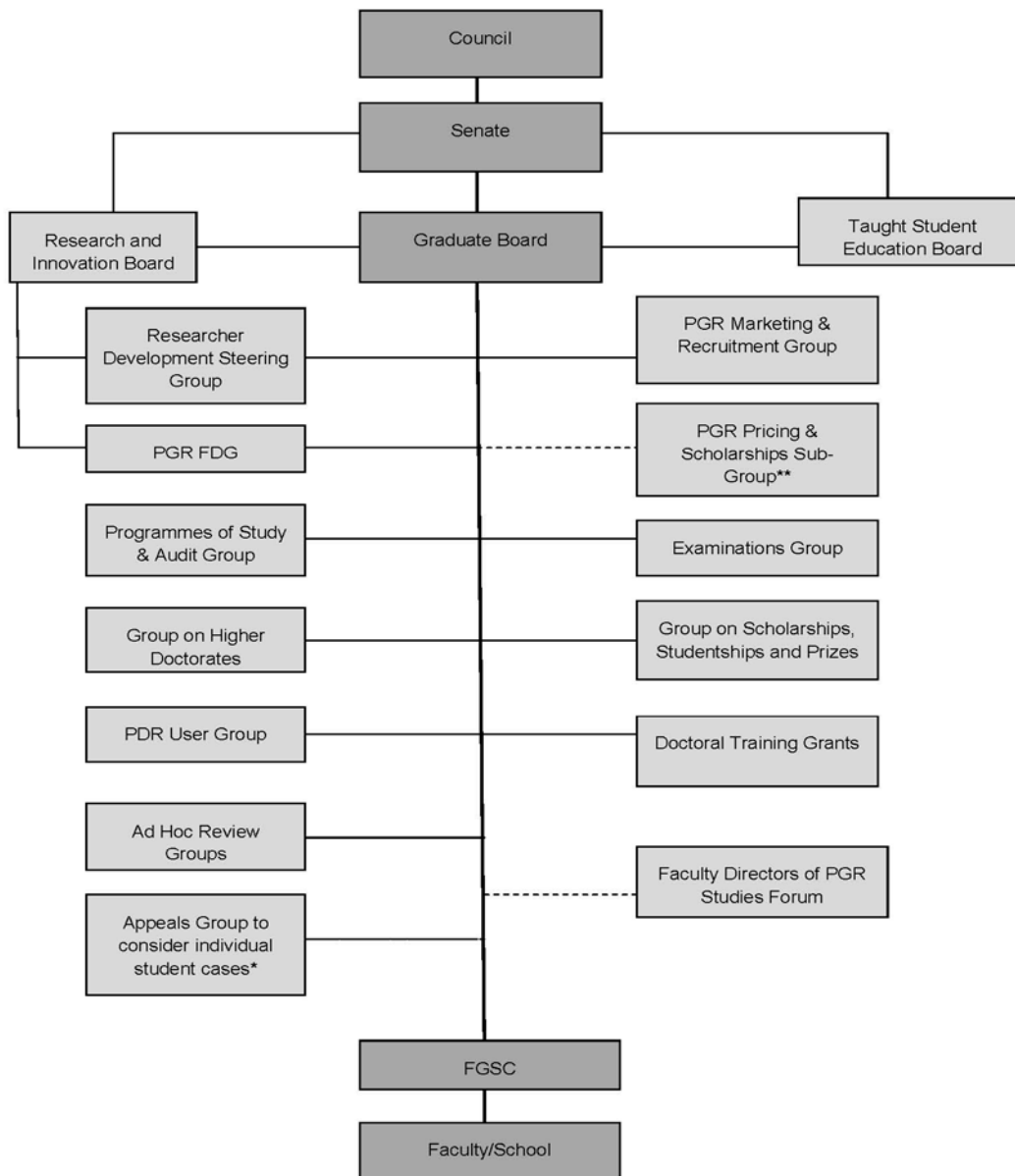
The periods of study, progress, assessment and examination arrangements are different for each of the individual research degrees. In some Schools, supervisors may be simultaneously involved in the supervision of students registered for different research degree programmes. In such cases, supervisors must ensure that they make themselves aware of the individual regulations and requirements for each research programme.

## 2 Management of Research Degrees

### 2.1 The Graduate Board

The University has a [Graduate Board](#) that monitors and reviews all arrangements for research degrees and aspects of a candidature. From session 2011-12 the Board has been chaired by the Dean of Postgraduate Research Studies, and is responsible for implementing policy and regulations via Faculty Graduate School Committees, [Postgraduate Research Tutors](#) and Postgraduate Research and Operations. Admission, progress, examination and a decision regarding the award of the degree also fall within the remit of the Graduate Board. Postgraduate research students are represented on the Board and upon Faculty Graduate School Committees.

## Graduate Board Committee Structure 2015/16



\* Will take decisions on individual appeals but reports back to Graduate Board on relevant general issues.

\*\* Reports to the University Pricing, Scholarships & Financial Support Steering Group.

## 2.2 Faculty Graduate Schools

Each Faculty has a Faculty Graduate School headed by a [Director of Postgraduate Research Studies](#), who will be a senior member of academic staff. The precise arrangements in each Faculty Graduate School may vary to take account of the requirements of the different disciplines, but the Graduate School structure is intended to strengthen research degree arrangements and provide a consistent experience for all students. The Graduate Schools will provide opportunities for research students and supervisors to interact academically and socially through the organisation of conferences, seminars and social events. They also collaborate to provide training for research students.

### *Faculty Graduate School Committees*

Faculty Graduate School Committees have been operational since October 2003. Faculty Graduate School Committees report to the Graduate Board and have common core Terms of Reference, which give all Faculties a clear route of communication to Graduate Board.

[Faculty Graduate School Committees](#) are expected to fulfil a role (aligned to that of Faculty Taught Student Education Committees) with regard to quality issues and provide a forum for discussion of postgraduate research issues. In some cases Faculty Graduate School Committees also handle taught postgraduate issues. The Graduate Board wishes to emphasise the importance of research student participation in Faculty Graduate School Committees to strengthen discussions and decisions about future University policy for research degrees.

## 2.3 Faculty Directors of Postgraduate Research Studies Forum

All Faculty Directors of Postgraduate Research Studies are members of a Forum chaired by the Dean of Postgraduate Research Studies which meet regularly to provide reports and strategic advice for the Graduate Board. It also facilitates the sharing of good practice between Faculties thereby developing and enhancing the overall University arrangements for postgraduate research students.

## 2.4 Postgraduate Research Tutors (PGRTs)

Each Faculty/School/Institute has at least one Postgraduate Research Tutor (PGRT) appointed by the Faculty Graduate School Committee on the recommendation of the Head of the School; some may have a number of Tutors. The Tutors are responsible to the Graduate Board through the Head of School and the Faculty Director of Postgraduate Research Studies. PGRTs are there to advise supervisors and research students on the administrative and organisational requirements for research degrees including the PhD, Integrated degree of PhD and Master, Professional Doctorates, MD, MPhil and Masterships by Research. Additionally, they have general responsibility for coordinating admissions, pastoral care, recording and monitoring of progress and attendance of all research students (with absence being reported) and the transfer process for assessment for full degree registration, as well as for ensuring that appropriate written records are kept and that the University Code of Practice for Research Degree Candidatures is followed. The Postgraduate Research Tutors also have significant responsibility for the examination process. The supervisor should seek advice from PGRTs where appropriate. Students may also discuss matters of concern with them.

Further information, including a description of the role of the Postgraduate Research Tutor, the criteria for the appointment and a list of current Tutors is published on the [Postgraduate Research and Operations website](#)



## Postgraduate Research and Operations

Location: Student Services Centre, Level 9, Marjorie and Arnold Ziff Building

Normal opening hours: Weekdays 09:00-17:00

Registration: [rp\\_student@adm.leeds.ac.uk](mailto:rp_student@adm.leeds.ac.uk) (0113) 343 5057

Progress (suspensions and transfers): [progress.temp@adm.leeds.ac.uk](mailto:progress.temp@adm.leeds.ac.uk) (0113) 343 5571

Thesis submissions and examinations: [rp\\_examinations@leeds.ac.uk](mailto:rp_examinations@leeds.ac.uk) (0113) 343 4003

[Postgraduate Research and Operations](#) issues the official letter of admission, manages the registration that follows, and maintains records for every research student in the University. Staff deal with most aspects of the research student's career and maintain close contact with the Directors of Postgraduate Research Studies, Postgraduate Research Tutors and School Postgraduate Research Administrators. Students (and staff) may request assistance in dealing, for example, with changes to the programme of study and for information on examination.

Postgraduate Research and Operations also has responsibility for providing the Graduate Board with the information which that Board requires both in a routine way and for any special circumstances that may develop. The team is pleased to provide information and advice to individual supervisors, and to offer guidance on matters not covered in this guide.

## Postgraduate Scholarships

Location: Student Services Centre, Level 9, Marjorie and Arnold Ziff Building

Normal opening hours: Weekdays 09:00-17:00

Telephone direct line: (0113) 343 4007

Email: [pg\\_scholarships@leeds.ac.uk](mailto:pg_scholarships@leeds.ac.uk)

Website: <http://scholarships.leeds.ac.uk/>

The [Postgraduate Scholarship](#) team deals with applications for University of Leeds scholarships and studentships, and can provide information relating to funding opportunities for prospective and current students undertaking degrees at the University. Staff also deal with some Research Council studentships and the processing of AHRC and ESRC studentship applications. The Postgraduate Scholarships website enables prospective students to search for current funding opportunities according to their nationality, subject area and level of study. The website provides details on eligibility and the scholarship application process and is updated regularly when new scholarships information becomes known.

Current students can find information on internal and external funding, including financial support at the following [website](#)

The Postgraduate Scholarships team is pleased to offer advice to individual supervisors, and to provide information and advice on postgraduate scholarship matters. From time to time they will organise information sessions about various scholarships.

## 3 Admissions and Registration

### 3.1 Admissions process

Under the terms of the Race Relations Amendments Act 2001 the University has a legal obligation to collect data on the representation of particular student groups (ethnicity, gender, disability, social class/postcode) and to be able to profile the overall number of applicants.

A policy setting out the University's requirements is available to view on the [SES website](#).

#### *Paper-based applications for research degree study*

(Please note that although it is still possible to use the paper-based application system all applicants are encouraged to use the on-line system outlined in the next section).

In order to meet the requirements of the legislation all paper-based applications must be sent to Postgraduate Research and Operations in the first instance where they are logged on the BANNER student record system. Applications are then dispatched to the academic schools so that consideration may be given to the application. Postgraduate Research and Operations operates a 24 - 48 hour turnaround time for logging of applications to avoid unnecessary delays for the applicant and the School.

#### *On-line applications for research degree study*

The University's web-based admissions system currently allows applicants to apply on-line, to track their application at each stage of the process and to accept the offer of a place on-line. This service and full guidelines can be found on the [University of Leeds website](#)

As well as streamlining the process for applicants and enabling them to submit supporting documentation on-line and check progress in the System, the web-based system reduces the volume of enquiries received from applicants relating to the status of their applications. The data captured in Banner also enables better management reporting.

#### *School consideration of applications*

Applications for admission to postgraduate research will be considered by arrangements specified by the Faculty Graduate School Committee. Given the ever-increasing competition between universities for high quality students, Graduate Schools should regularly review the arrangements to ensure that unnecessary delays in making and communicating decisions on applications are avoided.

The consideration of applications will normally be undertaken by the Postgraduate Research Tutor and potential supervisor/s. The Postgraduate Research Tutor should ensure that the application is considered expeditiously on receipt from Postgraduate Research and Operations or via the on-line service. Where practicable, an interview should take place when the offer of an academic place is being considered by the School. Careful consideration should be given to the suitability and qualifications of applicants and appropriate expertise for supervision and adequate resources must be available. Applicants should be accepted only where appropriate expertise for supervision and adequate resources are available. Potential supervisors are asked to complete all forms and respond to letters required by the relevant Faculty/School Committee or Postgraduate Research Tutor. Records of any interviews held and consideration of the application should be retained for the period of time specified by the Faculty/School.

When the School wishes to accept an applicant the School recommendation should be completed by the Faculty/School and returned to Postgraduate Research and Operations in order that a formal offer may be prepared. Schools are responsible for issuing rejection letters.

Further information for staff about the admissions process is provided on the [Postgraduate Research and Operations website](#)

Consideration of ethical issues should take place at an early stage. Application for ethical review should, where appropriate, take place before the research project starts.

### *Split-site study*

The University currently operates three models of split-site PhD study:

- Collaborative Research Partnership (Model A)
- Capacity Building Partnerships (Model B)
- Individual applicants of very high quality (Model C).

Further information about all three models is provided on the [Postgraduate Research and Operations website](#)

In exceptional circumstances, it may be possible to bring forward special cases for split-site PhD study for consideration by the Chair of the University Steering Committee for Split-site PhD Programmes.

## 3.2 Fees assessment

The main formula of the Fees Assessment regulations state that in order to be eligible for home/EU fee status a candidate must satisfy all the following criteria:

- (i) is 'settled' in the UK and Islands on the first day of the academic year (i.e. they have obtained either Leave to enter or remain for an indefinite period or Right of abode before the start of their degree) (this status will be recorded in their passport);
- (ii) has been ordinarily resident in the UK and Islands for the three year period before the start of the course;
- (iii) and has not at any time during that period been resident in the UK and Islands wholly or mainly for the purpose of receiving full-time education.

Exceptions include:

- EU National or the Child, Spouse or Civil Partner of an EU National (this includes British Citizens)
- EEA Migrant Worker
- Refugee Status
- Exceptional Leave

In order to be assessed for fee status, applicants must request complete the Fees Assessment Form from [Postgraduate Research and Operations](#) and return this with a copy of their current passport/visa.

### *Fee remission for staff*

The University recognises the importance of identifying the development needs of members of staff through the Staff Review and Development Scheme, both to enhance knowledge and skills needed for their current role and to assist towards agreed career progression. Where a School agrees, as part of the Staff Review discussions and consideration of any strategic priorities, that an internal part-time research degree is an appropriate form of staff development, the academic fees will be met by the Faculty/ School. Part-time and full-time staff are both eligible to have academic fees met by the Faculty/School where appropriate. The full details of the arrangements for part-time research degree study at Leeds by members of University staff are published on the [PGR & Operations website](#)

## English language requirements for those whose first language is not English

Students will need to provide satisfactory evidence of a recognised English Language qualification before registration. The minimum English Language requirements are IELTS band score 6.0 (with not less than 5.5 in any component); or internet-based (iBT) TOEFL 87 (with not less than 20 in Listening, 20 in Reading, 22 in Speaking, and 21 in Writing) or equivalent deemed appropriate by the University of Leeds.

However, some Schools require English language scores significantly higher than the minimum levels, details for which are available the admissions section of the [SES website](#)

Please note that a higher level (6.5) in IELTS (with no component below 6.0) or equivalent is required for candidates wishing to study under a split-site candidature.

The IELTS or TOEFL ibt score must be no more than two years old by the student's official start date at the University of Leeds.

A Masters degree of at least 12 months duration, or an undergraduate degree which was awarded from a UK university, or university in a majority English speaking country, and awarded less than 2 years and 4 months from the proposed start date will also be accepted.

If a student falls just short of English language criteria (0.5 of a band below the School's entry point for research degree study, they can undertake a 6 or 10 week pre-sessional English Language Course at the Language Centre. If this course is successfully completed then the student will have met the English Language condition

### *University English Language Test*

The University requires all postgraduate research students whose first language is not English to take the University English Language Test within one month of registering for a research degree. The purpose of the test is to identify students who, although they have met the University's English language entry requirements, may benefit from further help with English language. Following the test a student may be required to attend some additional classes which are free of charge. Failure to attend classes could adversely impact on the progress of the candidature. The following process operates:

- (i) Any student scoring below 60% is required to take any English language classes recommended by the Language Centre.
- (ii) Where a student scores below 30%, their case is considered by the Graduate Board's Programme of Study and Audit Group (normally the Chair acting on its behalf) and appropriate action taken in each individual case to ensure that the student is not disadvantaged by their level of English.

In all cases the Transfer Assessment Panel will consider the student's language and communication skills. The Panel will consider whether writing a thesis in English at a standard suitable for submission for a research degree and defence of the thesis at an oral examination is a realistic prospect and whether any additional support is necessary to enable the student to achieve the appropriate standard.

UFLT scores are recorded on Banner by Postgraduate Research and Operations and can be viewed through the Postgraduate Development Record System under 'Banner Details' and by selecting the 'English Language scores' tab. The [Language Centre](#) provides up to 4 hours per week free tuition for those needing additional support.

Advice may be obtained from Postgraduate Research and Operations about how to access the UK National Recognition Information Centre (NARIC), who are responsible for providing information, advice and guidance on qualifications worldwide.

### 3.3 Scholarships

There are a range of research council funded opportunities available, depending on subject area. These opportunities are disseminated through the PGR admin mailing list and on the scholarships website.

It is essential that, before a candidate is recommended by a Faculty/School for a Central Scholarships Competition, a formal offer of admission has been made by the University.

#### *UK & EU*

University Research Scholarships\* (UK & EU):

- Faculties of Biological Sciences, Engineering, Environment, MAPS, Medicine & Health\*
- Faculties of Arts, Business, ESSL and PVAC\*

University Arts and Humanities Research Scholarships (Research Postgraduate)

University Endowed Scholarships (Taught and Research Postgraduate)

University Fee Scholarships (for Mastership study)

White Rose Studentships (Research Postgraduate)

University of Leeds 110 Anniversary Research Scholarship

#### *International*

Fully Funded International Research Scholarships (Research Postgraduate)

China Scholarship Council - University of Leeds Scholarships (Research Postgraduate)

Tetley and Lupton Scholarships (for Mastership study)

\* The closing dates for University Research Scholarships will be advertised on the Postgraduate Scholarships website when they become known.

### 3.4 Registration

Registration is completed online via the University's [Portal](#)

All full and part-time students (including staff candidates) must register within four weeks of starting their studies and thereafter every year on the anniversary of their start date while they remain candidates for a degree. Students who do not complete registration within the required period may be liable to pay a late registration fee. Supervisors are strongly advised to ensure that students complete registration promptly as failure to do so could result in serious financial losses for the Faculty/School.

New students must meet the [conditions of acceptance](#) as stated in their offer letter prior to registration. Postgraduate Research and Operations (PGR & Ops) staff need to see and take copies of academic and English language qualifications before opening up on-line registration. If a new student has yet to be formally awarded a Masters degree, PGR & Ops require evidence that all the required work has been completed prior to registration. This can be in the form of a letter (in English) on headed paper, or an email from the course director or administrator. Once the Masters degree has been formally awarded, students will need send this evidence to PGR & Ops.

If a student has been awarded a Research Council or University Scholarship, they will not be permitted to collect their maintenance grant until they have completed registration in full.

It is mandatory for all students to show their passport (and for international students their visa ) before registration can be completed. A copy of the passport pages holding personal details and current visa or Biometric Residence Permit (BRP) must be kept by the University for each student on a Tier 4 visa.

### 3.5 International students - immigration issues

#### *Academic Technology Approval Scheme (ATAS)*

With effect from 01 November 2007 the UK government introduced the Academic Technology Approval Scheme (ATAS). In effect, **non EU/EEA nationals** planning to undertake postgraduate study in the UK in certain science, engineering or technology disciplines must acquire an ATAS certificate **before** they can apply for a Visa, Entry Clearance (EC) or Extension of Stay (EoS). Further information about the scheme is published on the [Postgraduate Research and Operations website](#)

#### *Points Based System Tier 4 Student Visas*

[UK Visas and Immigration \(UKVI\)](#) operates the Points Based System for immigration for all international students and staff. UK universities have had to apply to the Home Office to become an approved education provider. Once accepted, universities are then issued with a “sponsor licence” which enables universities to bring international students to study in the UK.

To apply for or extend a student visa, International students from outside the European Economic Area, must first obtain a ‘*Confirmation of Acceptance for Study*’ (CAS) from the University, through Postgraduate Research and Operations. Guidance on visas and how to apply can be found via International Student Office section of the [SES website](#). Please note that the information on this website may be subject to change subject to UKVI updating their policy for Tier 4.

As a Tier 4 Sponsor, UKVI requires the University of Leeds to do the following:

- Ensure that we have up-to-date contact details for all Tier 4 students
- Ensure we have a copy of all students’ current Tier 4 (or other) visa
- Inform UKVI of any students who fail to register for their programme of study
- Inform UKVI of any students who interrupt or withdraw from their programme of study and confirm the date that they intend to leave the UK. This includes students who complete their degree early
- Monitor the attendance of Tier 4 students and report to UKVI any students who fail to meet the requirements.
- Inform UKVI about any significant changes to a student’s circumstances or programme of studies (e.g. if a student completes the programme early).

It is the responsibility of each student to ensure that they have valid immigration permission at all times during their study at the University of Leeds, whilst they are in the UK. If a student allows their immigration status to lapse at any time during their registration the University will suspend their study or withdraw them from their programme of research. Students must be reminded to keep the University informed of any changes to their immigration status throughout their candidature. If they need specific advice on their visa please ensure that the student is directed to the International Student Office on tel: +44 (0)113 343 3930 or email: [internationalstudents@leeds.ac.uk](mailto:internationalstudents@leeds.ac.uk)

### *Support for international students*

The International Student Office is the only place on campus allowed, by law, to provide students with advice on UK immigration law. If an international student needs to extend their visa as a student, they can get help from the International Student Office. Also, if a student is thinking of suspending or withdrawing from their studies, and is in the UK with permission as a student, they should be advised to visit the [International Student Office](#) for immigration advice before making their decision.

#### Student Visitors

Students undertaking a research degree overseas may also travel to the UK to undertake research that is relevant to their degree. If this period is for less than 6 months than students can apply for a short-term visa (formerly known as a student visitor visa).

Further information can be found on the International Student Office website and [here](#)

For information on academic visitors please see [here](#)

### 3.6 Support for disabled research students

The University, through teams within [Disabled Students Assessment and Support](#), offers specialist support including information, advice and guidance sessions, modified exam arrangements, assessment of needs, support workers and transcription if required.

#### *Disability support in schools and faculties*

The University has a network of Disability Contacts within academic schools and faculties. The Disability Contact is responsible for liaising with the Disabled Student Assessment and Support with regard to individual disabled students, and will work with relevant staff members, including supervisors and PGR tutors, to ensure that appropriate arrangements are put in place within the department. Disability Contacts carry out this role on a part-time basis and these responsibilities sit alongside their other academic and/or non-academic responsibilities.

The full list of Disability Contacts is available via:

[http://ses.leeds.ac.uk/info/21840/specialist\\_support\\_services/838/disabled\\_students\\_assessment\\_and\\_support](http://ses.leeds.ac.uk/info/21840/specialist_support_services/838/disabled_students_assessment_and_support)

## 4 Supervision

### 4.1 General advice to supervisors

The Graduate Board requires all members of staff at Leeds to attend a course on research degree supervision organised by the Staff and Departmental Development Unit before being recommended for appointment as a supervisor. [Eligibility criteria for research degree supervision](#) are published on the Postgraduate Research and Operations website. Experienced Leeds supervisors, and experienced supervisors who are new to Leeds, are also asked to attend a course, organised by the Staff and Departmental Development Unit, to update their knowledge of University policy and procedures relating to the supervision of research students at Leeds. Further information about these courses is provided on the [SDDU website](#)

Supervisors are responsible for various activities including, but not limited to:

- (i) Conducting, with the student, a training needs analysis (including ethical issues) within one month of commencement of study and ensuring that the student receives the research training appropriate to the requirements of the research;



- (ii) approving a timetable for the work of the student and seeing that it is followed;
- (iii) advising on all aspects of the research and thesis preparation;
- (iv) making the student aware of ethical procedures and review;
- (v) commenting within a reasonable time on all written work submitted by the student;
- (vi) making written reports on the student's progress as University/Faculty/School practices require;
- (vii) arranging regular meetings with the student and ensuring, in partnership with the student, there are written records of formal supervision meetings recorded on the PDR;
- (viii) ensuring the student receives written feedback on the assessment of progress, and to draw to the attention of the student problems when they arise, where necessary this should be done in writing;
- (ix) taking action to bring to the attention of the Postgraduate Research Tutor any concerns about a student's unsatisfactory progress;
- (x) reading and commenting on the whole of the draft thesis prior to submission provided it is made available by the student in reasonable time;
- (xi) reporting to the Faculty/School when there has been no contact with an individual research student or when there has been a pattern of absences which is affecting the student's progress or causing concern for the student's well-being

A complete summary of the responsibilities of supervisor and student responsibilities is available in the *University Code of Practice for Research Degree Candidatures* (see Annex I).

Supervisors are reminded that they should also refer to their [Faculty Protocol for the implementation of the University Code of Practice](#) where additional responsibilities may be listed

Supervisors should make students aware of the necessity of maintaining high standards of academic conduct and of the requirements to avoid conduct amounting to the fabrication of results or plagiarism. This should be done at an early stage of the candidature

## 4.2 Eligibility for research degree supervision

All supervisory teams must include at least one individual who meets the following criteria:

- is a member of the academic staff holding a permanent appointment of the University of at least 0.5 FTE (with any relevant probation period having been confirmed)
- a minimum of three years previous experience of research degree supervision (The Graduate Board has, however, expressed the view that the preferred level of experience is supporting a doctoral candidate through to successful completion).

## 4.3 Models of supervision

The University has two main models of supervision. Some students have a single supervisor (together with a Mentor/Advisor) although most students have a supervisory team which may comprise either a) one main supervisor together with a Research Support Group or b) one main supervisor with a co-supervisor(s). It is not necessarily the case that the main supervisor will be the most senior or experienced member of the team. Students will be able to access details of their supervisory team through the [Postgraduate Development Record \(PDR\)](#). When necessary the PDR will be updated to reflect any change to the supervisory team.



Where two or more Faculties/Schools are involved in supervising a student, the persons concerned should agree which is acting as the student's parent Faculty/School and notify Postgraduate Research and Operations accordingly. This Faculty/School should then take full administrative responsibility for the student and should ensure that the student receives appropriate supervision. Where two or more Faculties/Schools are involved in a candidature, it is normally expected that the main supervisor will be from the candidate's parent registration school. Permission must be sought from the Graduate Board's Programmes of Study and Audit Group where this is not the case.

In addition to their supervisor(s), students should be reminded that there are further levels of support within the Faculty/School available to them. This includes the Postgraduate Research Tutor, Faculty Director of Postgraduate Research Studies and Head of School. Each Faculty/School should have a procedure whereby the student is offered the opportunity of having a meeting at least annually, in the absence of the supervisor(s), with the Postgraduate Research Tutor or Head of School or another senior member of academic staff. The purpose of the meeting is to review progress, discuss this with the student and to enable the student 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 must be appointed.

The names and contact details of the Postgraduate Research tutor, Faculty Director of Postgraduate Research Studies and Head of School will be available to students throughout their programme of studies.

#### 4.4 The research programme

The first task of the supervisor will be to assist the student to define the topic which is to be tackled in the course of their research. In some cases the project will have been outlined in detail prior to commencement of study. This is very likely to be the most crucial task performed by the supervisor in the whole course of the candidature. The student should not be burdened with so large a topic that it cannot be treated properly within the confines of the thesis or mastered within the standard period of study appropriate to the candidature. Conversely, the topic should give sufficient scope for investigation appropriate to the research degree for which the student is registered. Where the research is sponsored by an outside body, the terms of such sponsorship must be carefully considered.

##### *Staff undertaking research degrees*

Specific information for members of staff undertaking research degree study at Leeds is published on the [Postgraduate Research and Operations website](#)

#### 4.5 Starting the supervision

The supervisor should start by going over with the student details of the research, for example, how it is to be tackled, the experimental design, the resources needed and the procedures that will have to be learned. The hypothesis which the student has in mind should be clarified and rigorously discussed. This should serve to establish a clear understanding between the student and the supervisor of the objectives and general design of the research programme. If, as the work proceeds, the student contemplates a change in its scope or emphasis, they should seek the supervisor's opinion at an early stage. However, supervisors are reminded that the thesis must be the student's own work, and the student should make the final decision about content and design.

##### *Programmes of Study/Learning Outcomes for Research Degrees*

Supervisors should be aware of the required learning outcomes for the relevant programmes of study as they may be responsible for supervising individual students who are registered on different programmes (e.g. PhD, MPhil, DClinPsychol etc). The learning outcomes will also assist in identification of training and

development needs. Details of the Programmes of Study, Learning Outcomes, Transferable (Key) Skills, Learning Context and Assessment information for all research degree programmes offered at Leeds are published in the *Ordinance and Regulations and Programmes of Study for Research Degrees* and are available to download individually on the [Postgraduate Research and Operations website](#)

There may also be more detailed information in the local School PGR Handbook or equivalent documentation.

Training requirements, health and safety issues, safeguarding data and the ethical aspects of the research must also be addressed as a fundamental part of the research design and management process.

### *Training and Development needs*

One of the first major tasks of the supervisor is to consider, in partnership with the student, the training and development needs of the student. It is recognised that research students have a wide range of backgrounds and prior experience. For example, there are those who have recently completed an undergraduate degree and are only just beginning on their career path and there are those who have already had a significant professional career and are returning to education after a significant break. For this reason, training and development activity for research students at the University is needs based<sup>1</sup> and a wide range of opportunities are offered to allow tailoring to the needs of the individual.

### *Health and Safety*

Further information about Health and Safety is provided on the [Health and Safety Services website](#)

### *Safeguarding data and data protection*

It is important that students are aware of and comply with the [University's Policy for Safeguarding Data](#). This policy provides general guidance for the safeguarding and security of all University data.

Students working with personal data should also be made aware of and comply with the University's [Code of Practice under the Data Protection Act](#)

Details of training and development workshops relating to data security are available from the ethics section of the [Staff and Departmental Development Unit website](#)

Further guidance on data management is available from the [Research and Innovation Service](#)

There is also guidance about research data management good practice from the Library based [Research Data Management Service](#)

Students should be informed that research data, including personal data relating to research participants such as their contact details, should be stored on a University of Leeds server such as their M: drive where it is secure and backed up regularly. It is not good practice to store research data on personal computers.

Supervisors should, in partnership with students, consider the length of time that their research data is

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<sup>1</sup> In some circumstances, because of specific requirements of a subject area, some training may be mandatory in a particular Faculty/School. Your Faculty training and development contacts will be able to advise <http://www.leeds.ac.uk/rtd/rtdwebsites.html>

stored. If applicable, research funder guidelines should be followed; increasingly funders (for example the UK Research Councils) ask that research data are anonymised and shared. It would be reasonable to retain data for at least two years after publication or three years after the end of data collection, whichever is the longer.

## 4.6 Student Training and Development

The training and development of postgraduate researchers is a key aspect of the University's strategic aim to deliver a world class postgraduate researcher experience. The University offers an outstanding range of personal and professional development opportunities for postgraduate research students to support them through the research degree and into their chosen career.

The overall aim of personal and professional development activity is to enable researchers to develop their research performance, employability, professionalism and engagement with society. The view of the Vice-Chancellor's Senior Management Team is that in the current global economic climate of uncertainty, and societal challenges stemming from an ageing population, environmental change, and an increasingly internationally mobile workforce, there has never been a greater need for original, creative and innovative research. The modern research degree combines the bedrock of research skills and knowledge with the opportunity to develop a much wider range of attributes, so as to prepare researchers for employment and help them realise their ambitions, whatever their chosen career path.

**It is a requirement of the University that the supervisor conducts a training needs analysis within one month of the commencement of study and agrees a training plan with the student which should be recorded within the PDR.** The supervisor should monitor the research student's progress against the training plan regularly.

The Supervisor is responsible for initiating this process and some students have indicated that they would welcome specific advice on the relevant University courses that would be valuable. The University has a Training and Development Needs Analysis (T/DNA) tool to help students consider their training needs within the context of the research degree they are embarking upon and their future career. The T/DNA tool can be accessed through [Researcher Training and Development](#) or through the PDR. The T/DNA is based upon the RCUK endorsed Researcher Development Statement and the Researcher Development Framework.

Research students and supervisors should cover the awareness of the rules and regulations relating to plagiarism as part of the training needs analysis completed at the start of the candidature.

Supervisors should bear in mind that further reviews of a student's training needs might be necessary at later stages if the research requirements change. Furthermore, confirmation that the student has made satisfactory progress with the training plan will be required as part of the transfer recommendation.

### 4.6.1 Personal and professional development opportunities

The University has in place a structure of Researcher Training and Development Hubs which provides a team that includes Faculty based and Central Services support. There is a Faculty Hub supporting the Faculties of Engineering, Environment and Maths and Physical Sciences, a Hub supporting Medicine and Health and Biological Sciences and a Hub supporting the Faculties of Arts, ESSL, LUBS and PVAC.

### 4.6.2 Personal Development Plan

All students are encouraged to record and reflect on training and development activity within a Personal Development Plan. During induction they will be given further information in respect of the tools available to support them in developing a Personal Development Plan. A record of the training plan must be kept in the Postgraduate Development Record (PDR).

### 4.6.3 National Researcher Development Framework

“The Researcher Development Framework articulates the knowledge, behaviours and attributes of successful researchers and encourages them to aspire to excellence through achieving higher levels of development.

The framework is a comprehensive new approach to enhancing the careers of researchers. It was developed by and for researchers, in consultation with academic and non-academic employers”.

[Source: <http://www.vitae.ac.uk/rdf>]

The Researcher Development Framework (RDF) has been developed at the national level and is a valuable tool in helping researchers consider their own personal and professional development. There is also a 'summary' document known as the Researcher Development Statement and its use is endorsed by over 30 national organisations including the UK Research Councils

The RDF identifies skills and attributes of researchers in four broad domains:

- Domain A - Knowledge and intellectual abilities
- Domain B - Personal effectiveness
- Domain C - Research governance and organisation
- Domain D - Engagement, influence and impact

Further information about the RDF and useful resources are available from the [Vitae website](#).

### 4.6.4 Attendance at research seminars

Attendance by research students at research seminars is the normal expectation, and Schools should give strong encouragement to research students to attend. Schools should also bear in mind the needs of students who are not full-time, e.g. those who are part-time or split-site.

### 4.6.5 Attendance on taught modules

Research students may also be required or may wish to attend taught modules as part of their individual training. Unless specified in the particular programme of study, research students should undertake study for taught course modules only after consultation with, and approval from, their supervisor. Supervisors are advised to consult the School that is responsible for the relevant taught modules in advance to ensure a place is available. Payment of a fee may be required.

Currently the expectation of the Graduate Board is that any taught modules taken as support for research degree study would normally be taken during the first year of full-time research degree study or the first and second year of part-time research degree study, except where the taught modules are prescribed as part of the programme of study (as for example in the Integrated degree of PhD and Master, EdD, DBM, DPM, DClinPsychol, DClinDent, DPaedDent and DHSC). There are, however, some exceptions where specific training may be helpful at later stages of particular candidatures.

## 4.7 Recording student training

Graduate Board requires that the Faculty/School must keep a record for each student which contains:

- (a) evidence of a training needs analysis carried out between each student and supervisor within one month of study
- (b) a record of training and development undertaken by the student
- (c) records of the official supervisory meetings between student and supervisor

(d) records of the regular progress reports written by the supervisor

(e) a record of the transfer panel's report

The records must be stored in the PDR and be available to view by the supervisor and Faculty/School.

## 4.8 Learning Outcomes / Transferable Key Skills / Learning Context / Assessment

The University has formal policy statements on the learning outcomes, transferable key skills, learning context and assessment of research degrees. These are set out for each type of research degree on the Postgraduate Research and Operations website as part of the [Ordinance and Regulations and Programmes of Study](#)

This document contains the University's formal regulations and requirements, including the criteria for award and examination for all research degrees. Candidates are provided with a link to the document with their acceptance letter.

Attention is drawn here to the qualifying criteria for the award of the degrees of Doctor of Philosophy, the Integrated Degree of Doctor of Philosophy and Master, Master of Philosophy and the Mastership by Research. For a clear description of the criteria for the award of all other research degrees (i.e. EdD, DBM, DClinPsychol, DClinDent, DPaedDent, DHSC, MD), please refer to the above *Ordinance and Regulations*.

Please note that, where relevant, candidates are required to achieve a satisfactory standard in the examination for specified taught courses as well as in the oral examination in connection with the thesis.

To qualify for the award of the degree of Doctor of Philosophy (PhD) each candidate must:

meet the required learning outcomes and satisfy the examiners that his/her achievement is of sufficient merit and that his/her thesis contains evidence of originality and independent critical ability and material suitable for publication through:

- (a) presenting a thesis<sup>1</sup> or alternative form of thesis as prescribed under Regulation 25(a) on the subject of his/her advanced study and research; and
- (b) presenting him/herself for an oral examination<sup>2</sup> and such other tests as the examiners may prescribe.

To qualify for the award of the Integrated degree of Doctor of Philosophy and the relevant degree of Master the candidate must:

complete the requirements of the prescribed programme of advanced study, training and supervised research as approved by the relevant committee, must meet the required learning outcomes and satisfy the examiners that his/her achievement is of sufficient merit and that his/her thesis contains evidence of originality and independent critical ability and matter suitable for publication through:

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<sup>1</sup> The thesis must be written in English, except in certain circumstances, approved by the Graduate Board in the School of Modern Languages and Cultures where a thesis may be submitted in a language other than English.

<sup>2</sup> The oral examination will be conducted in English, with the possible exception of some cases in the School of Modern Languages and Cultures where approval has been given, by the relevant Graduate Board Committee, for the thesis to be submitted in a language other than English. In such cases, with the prior approval of the Examiners, permission may be sought from the Graduate Board's Examinations Group for the viva to be held in a language other than English.

- (a) presenting a thesis<sup>1</sup> on the subject of his/her advanced study and research; and
- (b) presenting him/herself for an oral examination<sup>2</sup> and such other tests as the examiners may prescribe.

To qualify for the award of the degree of Master of Philosophy (MPhil) the candidate must:

meet the required learning outcomes and satisfy the examiners that his/her achievement is of sufficient merit and that his/her thesis contains an independent contribution to knowledge and scholarship and material at a level suitable for publication through:

- (a) presenting a thesis or alternative form of thesis<sup>1</sup> as prescribed under Regulation 36 on the subject of his/her advanced study and research; and
- (b) presenting him/herself for an oral examination<sup>2</sup> and such other tests as the examiners may prescribe.

The main difference between the award of the degree of PhD and MPhil lies in the degree of original thought the candidate has to demonstrate in their thesis and oral examination. Some students may be awarded an MPhil if their thesis submitted for PhD satisfies the MPhil criteria but does not meet the requirements for PhD.

To qualify for the award of a Master's degree by research (MA, MSc, MSc(Eng) or MEd) a candidate must:

meet the required learning outcomes and satisfy the examiners that his/her achievement is of sufficient merit through:

- (a) presenting a thesis<sup>1</sup> on the subject of his/her research which interprets and communicates knowledge in their discipline and contains material at a level suitable for publication in accordance with the requirements of the relevant prescribed programme of study; and
- (b) presenting him/herself for oral examination<sup>2</sup> and such other tests as the examiners may prescribe.

The main difference between the degrees of MPhil and Mastership by Research lies in the independent contribution to knowledge and scholarship which candidates for the MPhil degree are required to demonstrate in their thesis and in the oral examination.

The following table provides a comparison of the differences in requirements between the three levels of research degree.

Doctorate	MPhil	Master by Research
Originality	Independent contribution to knowledge	Interprets and communicates knowledge in the discipline
Independent critical ability		
Matter suitable for publication	Material at a level suitable for publication	Material at a level suitable for publication

### 4.8.1 Assessment of Learning Outcomes

Examiners will not be expected to monitor/assess all the Learning Outcomes at the time of the oral examination. They will be able, for instance in the oral examination for a PhD candidate, to reach a view on the evidence of discovery, interpretation and communication of new knowledge through original research and the demonstration of systematic and extensive knowledge of the subject area. It may be difficult, however, to assess expertise in generic and subject/professional skills at the oral examination, especially as the main emphasis of that examination will be upon the research achievement. An ongoing process of student monitoring and evaluation should therefore be in place within the Faculty/School indicating progress in relation to Learning Outcomes.

Faculties or individual registration units may wish to implement the assessment process of the Learning Outcomes in different ways. They should, however, ensure that the process is embedded within Faculty/School procedures.

### 4.9 Ethical approval at Leeds

The principles of good research practice encourage those involved in research to consider the wider consequences of their research, and engage with the practical, ethical and intellectual challenges inherent in high quality research. Research at the University of Leeds is conducted according to the principles of academic excellence, community, integrity, inclusiveness and professionalism. All research must be conducted with respect for participants and in compliance with legislative and funder requirements. In particular, it is important to ensure that research involving human subjects, personal data or human tissue is conducted in a manner that protects the welfare, dignity and rights of participants; and that research with the potential for significant adverse environmental impact is properly considered and managed.

Ethical review is not about preventing or making it difficult to carry out research, but about helping the researcher think through the ethical issues and how to deal with them. The risks and benefits for the researchers as well as for the participants are taken into account.

In all disciplines the ethical aspects of your research should be discussed with your supervisor as part of the research design and management process. It is your responsibility to obtain ethical approval, before starting your research, should it be required, and to allow sufficient time for the ethical review to take place in your research plans.

Students' awareness of the ethical implications of the research and that ethical approval has been sought and received where necessary will be checked at the training needs analysis stage, at transfer, and at examination entry. The examiners of your thesis may request access to the full ethical review paperwork considered by the Faculty Research Ethics Committee. Failure to seek appropriate ethical approval through the review process could have implications for the award of your research degree.

A number of training courses and workshops are available on the [Research Support and Innovation website](#)

Ethical review process at the University of Leeds

Further information about the ethical review process, including the application form for University review, tips for speeding up the ethical review process and associated guidelines, can be found on the [Research Support and Innovation website](#)

The ethical review process can take up to six weeks, so it is important that you allow enough time for this when planning your research.

Discuss your application for ethical review with your supervisor and ask them to check and sign your application form before it is submitted. The application form must be signed by both you and your supervisor. Handwritten applications will not be accepted.



Send the completed ethical review form and supporting documentation (e.g. information sheets, consent forms, questionnaires) by email to [Jennifer Blaikie](mailto:Jennifer.Blaikie@leeds.ac.uk), Senior Research Ethics Administrator, unless you are based in the Faculty of Medicine and Health. Students based in the Faculty of Medicine and Health should email their applications to [FMHUniEthics@leeds.ac.uk](mailto:FMHUniEthics@leeds.ac.uk)

Projects may be selected at random for audit, either by the University Research Ethics Committee (UREC) or the Faculty level Research Ethics Committee so it is important that all relevant documentation is kept securely.

Ethical review through other frameworks

Information about NHS and DEFRA requirements is available through the [Research and Innovation Service](#)

#### *Ethical considerations: transfer stage*

All students are required to submit, prior to the transfer assessment, a *Statement of Academic Integrity, Safeguarding Data and Ethical Requirements*. This is done online using the PDR system when the student uploads their transfer report. This document will be reviewed by the Transfer Panel.

#### *Ethical considerations: entry for examination*

Ethical considerations also form part of the examination entry form, which must be completed by all research students. **Failure to seek appropriate ethical approval through the review process could have implications for the award of the research degree.**

## 4.10 Academic integrity and plagiarism

### *Responsibilities*

Research students and supervisors should cover the awareness of the rules and regulations relating to plagiarism as part of the training needs analysis which is completed at the start of the candidature. Supervisors are advised at an early stage to direct research students to the relevant sections of the Research Student Handbook and also to the courses and additional resources that are available to candidates.

### *Advice and resources available to candidates*

Plagiarism is covered in the Starting Your Research Degree courses, provided by the Graduate Training and Support Centre, in partnership with Faculties, which are available to all new research students. Plagiarism is also covered in the 'Thesis Presentation'; 'Preparing for the Viva'; and 'Preparing for your Transfer' workshops. Further information on these workshops is available from the [Graduate Training and Support Centre](#)

For students whose first language is not English, additional support and advice is provided by the [Language Centre](#), which covers referencing and plagiarism in many of its pre- and in-session courses.

Skills@Library runs a number of workshops for research students including courses on EndNote. The Library has developed a resource called [Researcher@Library](#) which aims to provide information support and resources to researchers at all levels across the University. Candidates may also wish to note the resources and practice exercises in the [Leeds Plagiarism Guide](#)

### *Referencing*

Candidates must use an established referencing standard in their thesis (examples include Harvard or Numeric or other recognised referencing style used within a discipline). It is important that candidates familiarise themselves with the referencing conventions used in their discipline and they should seek further



advice from the Supervisor or Postgraduate Research Tutor on employing the correct academic conventions for referencing and citing work within their discipline.

### *Procedures for investigating plagiarism*

Procedures for investigating plagiarism in research degree work prior to, and within the submission for a research degree are provided on the [Postgraduate Research and Operations website](#) along with a guidance document for research students.

All students and supervisors should be aware that the University may use plagiarism detection services, such as TurnitinUK, to check whether work has been plagiarised. This includes work contained in the material submitted for assessment for transfer to full degree status or in the thesis submission.

**If a student is found guilty of plagiarism the consequences for the individual are very serious and may include a student being required to withdraw from the University or even the revocation of a degree which has already been awarded. If supervisors have concerns about the academic integrity of research students they should consult the Postgraduate Research Tutor.**

### *Statement of academic integrity*

A *Statement of Academic Integrity, Safeguarding Data and Ethical Requirements* must be submitted with the student transfer report/document - this is completed online using the PDR.

Candidates must also sign the *Statement of Academic Integrity* section on the [Thesis Submission Form](#) at the point at which the thesis is submitted for examination. The form is provided by the Student Services Centre counter at the time of the thesis submission<sup>1</sup>. Any candidate not submitting their thesis in person must obtain a copy of this form and sign and send it in with their thesis.

Candidates must confirm that:

- (i) the work is their own, that they have not presented anyone else's work as their own and that full and appropriate acknowledgement has been given where reference has been made to the work of others;
- (ii) they have read and understood the University's published rules on plagiarism as contained in the Research Student Handbook and also any rules specified at School or Faculty level;
- (iii) they understand that if they commit plagiarism they can be expelled from the University and that it is their responsibility to be aware of the University's regulations on plagiarism and their importance;
- (iv) they give their consent to the University copying and distributing any or all of their work in any form and using third parties (who may be based outside the EU/EEA) to monitor breaches of regulations, to verify absence of plagiarised material in their work, and for quality monitoring purposes.

### *Proof Reading Policy*

The [policy](#) is intended for the guidance of students and academic staff and relates to the proof-reading of any text to be submitted as part of the academic course work, including dissertations for any taught postgraduate or taught component of a research degree programme.

The policy applies to all students undertaking assessment for a taught module (which may form part of an Integrated degree of PhD and Master or for a Professional Doctorate programme or on a 'stand alone' basis).

The policy does not apply to the research component of a research degree programme (ie the transfer report, final thesis).

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<sup>1</sup> Candidates may download and complete this form and bring it with them at the time of thesis submission.

## 4.11 Guidance for the student

It is recommended that a system of regular supervision meetings should be arranged. Meetings should be as frequent as necessary to ensure that the student's work is not hindered for lack of regular advice. The expectation is that a full-time research student will have a minimum of 10 supervision meetings a year (5 supervision meetings a year for a part-time student).

As the research work begins, the student will need some guidance, but if they seem to need an excessive amount of assistance, the supervisor should resist the temptation to provide it. The supervisor must consider whether this may be a sign that the student cannot cope with the demands of the research project. If a serious doubt develops concerning the student's abilities, the School / Faculty may wish to consider initiating the [Unsatisfactory Academic Progress procedure](#).

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. Full-time students will continue to be entitled to a minimum of 10 supervision meetings a year (and part-time candidates a minimum of 5 a year).

### *Intellectual Property Rights*

The University treats students and staff equally in relation to [Intellectual Property Rights](#). Intellectual property includes copyright, patents, trademarks and data protection.

### *Copyright*

The University aims to make as many successful doctorate theses available as possible. Following award of the degree, electronic versions of the thesis can be accessed on White Rose eTheses Online (WREO) and the British Library's EThOS service. Doctoral candidates whose research began in or after September 2009 must submit their successful thesis in both hard bound and electronic form.

This may affect the structure of the student's thesis. Supervisors should assist the student to ensure the thesis is in a format suitable for electronic publication. Research students should be made aware of the rules and regulations regarding the use of copyright material and are aware of the limits on what can be photo-copied, scanned etc.

Students should be advised to consult early with their supervisor(s) to determine the extent to which their thesis may contain commercially exploitable inventions/innovations/matter suitable for publication in refereed journals or as a monograph. Students should be advised to seek the advice of their supervisor(s) - or the intended publisher of their monograph or paper - so the student knows whether to embargo your eThesis from publication. A student can restrict access to their final thesis in the library (both in print and eThesis) for one, two, three, five or twenty years (in the case of patent pending) if needed, either for commercial reasons or the student negotiates publication in peer-reviewed journals or a monograph. Further advice on copyright is available from the [University Library website](#)

## 4.12 Thesis titles

Postgraduate Research Tutors are responsible for monitoring thesis titles until the examination stage.

For PhD registration, the draft title of the thesis may be fairly broad at the time of commencement of study to allow a wider area of research at the start of the candidature, whilst discussions about the precise focus take place. The title of the research must be clearly defined and focussed by the transfer assessment stage and reported to Postgraduate Research and Operations with the recommendation for transfer.

For MPhil and Mastership by Research registration a draft thesis title must be confirmed at the time of acceptance of the candidate and reported to Postgraduate Research and Operations with the

recommendation for acceptance. Due to the tight timescale for completion it is essential that the research project is clearly defined and focussed before the student commences study.

Postgraduate Research Tutors should review the title of the research on an annual basis to ensure that it is still an appropriate description of the work being carried out. Where it is identified that there has been a change in the focus of the research, an amended thesis title should be reported to Postgraduate Research and Operations so that the University records may be updated accordingly.

For all research degree candidates, the final thesis title must be confirmed at the time of submission of the examination entry form. Changes to the title of the thesis should not normally occur after the entry form has been approved by the Examinations Group. Supervisors are asked to note the following good practice which may assist with the development of the research, target setting and professional development of the students.

- (a) the need to ensure that each research student has a clearly defined and unique thesis title;
- (b) the use of short titles which clearly reflect the work being undertaken;
- (c) the avoidance of unnecessary words such as “an introduction to, an evaluation of, an investigation into, a study of”;
- (d) the use of titles which are relatively narrowly focussed to reflect the restricted length of the period of study;
- (e) the use of titles which locate the work in the relevant discipline or disciplines;
- (f) the use of grammatically correct language;
- (g) the use of a title, where possible, which can indicate clearly the area of research, even to those outside the discipline/s.

It is recognised that the use of the first person in a thesis title may be appropriate in exceptional cases and where this is indicative of the thesis methodology. A request for permission to use the first person in a thesis title must be submitted via the Postgraduate Research Tutor for consideration by the Programmes of Study and Audit Group by no later than the transfer stage and the rationale for its use must be clearly justified. Further advice on thesis titles is available on the [Postgraduate Research and Operations website](#)

## 5 Progress, Assessment and Monitoring

### 5.1 Introduction

In addition to supervisory meetings all students are required to attend regularly, punctually and in an orderly manner, any lectures, tutorials and classes as may be directed. Persistent failure to attend, neglect of work and failure to make progress and/or achieve a satisfactory academic standard, may result in a student being required to withdraw from the University. Please see the [Code of Practice for Research Degree Candidatures](#) for a summary of the responsibilities of a research student.

Over the years many Schools have developed their own procedures for assessing research students' progress; for example, students may be asked to present their work at seminars or undertake a critical review of the existing literature pertaining to their research. At the transfer stage, all students must be interviewed by a Transfer Assessment Panel and this should take the form of a viva voce examination. Such assessment is important in determining whether a student's work has the appropriate potential for either a doctoral or MPhil degree. From session 2015/16 Annual Progress Reviews (Post-Transfer) must be held for all research students.

These assessment procedures offer the opportunity to review the training needs of the student, to assess whether these have been met, and also to suggest additional training and the means to achieve these. The progress of the candidate in acquiring sufficient expertise in “generic and subject/professional skills”) should be monitored regularly by supervisors in their reports on students’ progress.

## 5.2 Attendance monitoring and absence reporting

All schools are expected to monitor student attendance in an auditable way by recording supervisory meetings in the Postgraduate Development Record (PDR) system.

Supplementary to the normal monitoring of the attendance of all our students, the University is required by the Home Office to report international students who fail to fully register when expected or who are absent for a period without authorisation.

Supervisors are required to report to the PGRT when there has been no contact or missed supervision meetings with individual research students for a month (unless absence has been authorised for illness or other suspension, etc), or where there is a pattern of absences which is affecting the student’s work or causing concerns for the student’s wellbeing.

The University’s *Attendance Monitoring Guidance* is available on the [policies section of the SES website](#)

## 5.3 Postgraduate Development Record (PDR) System

The Postgraduate Development Record (PDR) is an important and compulsory tool in managing the candidature of research students at the University. It is a University-wide, web-based application accessible to all research students, supervisors, postgraduate research tutors, administrative and other staff involved in the career of a research student.

The system will indicate to postgraduate students and their supervisors or supervisory team when milestone activities, such as formal progress reports, are due. It will also make it easier for joint supervisors to see and share information about their supervisees.

Students and supervisors are responsible, in partnership, for ensuring that records of all formal supervision meetings are kept in the PDR.

The PDR assists research students in managing their training plans, uploading files and reports, tracking milestones, requesting and recording supervisory meetings, recording training, managing the transfer process, viewing feedback (including formal progress reports) and also maintaining a personal webpage.

The PDR has been designed to be intuitive to use, without the need for training. However, [support and guidance](#) is available

## 5.4 Assessment of generic and subject/professional skills

In order to continuously monitor and assess the achievement of candidates in acquiring sufficient expertise in ‘generic and subject/professional skills’ throughout the course of a candidature, the assessment process should be embedded within existing processes as follows:

- (a) within one month supervisors and students are to review the needs of the student and agree (in writing) a training plan. The supervisor will be responsible for initiating the process. A copy of the plan must be retained in the Postgraduate Development Record. Supervisors should bear in mind that further reviews of a candidate’s training needs might be necessary at later stages if the research requirements change;
- (b) progress to be monitored regularly by the supervisor and reports produced on the progress of the candidate in acquiring sufficient expertise in ‘generic and subject/professional skills.’

- (c) the progress made by a candidate towards meeting the Learning Outcomes should be assessed (and recorded) at the transfer stage and also at the annual review stage;
- (d) where requested by the Examiners, the written reports and records should be made available at the final oral examination to enable them to audit the arrangements that have been made.

## 5.5 Supervision records

There are two types of supervision records:

- Records of formal supervision meetings
- Formal reports from the supervisor on the student's progress<sup>1</sup>

Full-time students are required to have a minimum of 10 formal supervision meetings a year (5 for part-time students). The meetings may take place in a variety of forms (for example in face to face meetings when the student 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 supervisor to ensure, in partnership with the research student, that records are kept of all formal supervision meetings.

The guidance from the University in relation to research student supervision records and reports from the supervisor on academic progress is that they should be retained for a period of at least 6 years after the end of the candidature. Please refer to the [Data Protection Act](#) for more information. In the event of an appeal being made by the student, the Appeal Group will ask that all supervision records be made available for scrutiny.

## 5.6 Formal Reports on student progress

### *For full-time students*

As a minimum, formal reports on the student's progress should be made by the supervisor as follows:

- before completion of 6 months study (First Formal Progress report)
- towards the end of the first year (between 9 and 12 months to be reviewed at the transfer interview) (Transfer Stage: Progress report)
- annually thereafter until submission of the thesis<sup>1</sup>.

### *For part-time students*

As a minimum, formal reports on the student's progress should be made by the supervisor as follows:

- before completion of 9 months study (First Formal Progress report)
- at the transfer stage (Transfer Stage: Progress report)

annually thereafter until submission of the thesis<sup>1</sup>

Supervisors should ensure that progress reports are uploaded to the PDR so that these can then be viewed by the student and relevant academic and administrative staff. In all cases it is essential that the student are given clear information in writing on the assessment of progress.

Some Faculties/Schools require more frequent reporting and supervisors are advised to consult the relevant [Faculty Protocol](#) for further details of reporting requirements within their particular Faculty/School.

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<sup>1</sup> In the case of annual progress reviews (post-transfer) the report may be written by an individual independent of the supervisory team in discussion with the supervisor.

## 5.7 First Formal Progress Report

Supervisor(s) are expected to complete the [First Formal Progress Report](#) for each of their students before the completion of six months study for full-time students (and before completion of nine months of study for part-time students). Normally the main supervisor will complete the report.

The report form requires an assessment of the student's progress, progress against the training plan and an assessment of English Language ability.

There is also a section for completion by the student. This section requires a student to provide a review of their progress and offers the opportunity to comment on any issues which may have adversely affected their progress.

The First Formal Progress Report must be uploaded to the PDR.

## 5.8 Progress Report: Pre-Transfer Stage

Supervisor(s) are expected to complete a report on the progress of a student, registered on a programme intended to lead to a doctoral award, immediately prior to the transfer stage. Normally the main supervisor will complete the report.

The report requires an assessment of the student's progress, progress against the training plan and an assessment of English Language ability in addition to ethical and data storage requirements.

There is also a section for completion by the student. This section requires a student to provide a review of their progress and offers the opportunity to comment on any issues which may have adversely affected their progress.

The Progress Report: Pre-Transfer Stage must be uploaded to the PDR.

## 5.9 Transfer assessment

(i.e. assessment for transfer from the provisional registration categories to MPhil, PhD, Integrated degree of PhD and Master, DBM, EdD, MD, DClinPsychol, DClinDent, DPaedDent and DHSC).

All doctoral students are initially registered as either provisional doctoral students or as postgraduate research students and subject to a formal transfer assessment process within a specified timescale. If successful in this assessment, the student is then transferred to a specific degree category.

The assessment at the transfer stage is intended to identify whether the individual student and the research project have the potential for research at Doctoral level and also to assess whether completion of a thesis within the standard period of study for the programme concerned is a reasonable expectation.

All transfers are managed through the PDR system.

The decision on transfer is based on the submission of appropriate material for assessment (ie a report/document written by the student). The student should upload their material for assessment onto the PDR and also complete the online statement of Academic Integrity, Safeguarding Data and Ethical Requirements. All students must be interviewed by the Transfer Assessment Panel and this should take the form of a *viva voce* examination.

The Graduate Board has approved detailed guidelines on all aspects of the [transfer assessment process](#).

Supervisors and members of Transfer Assessment Panels must be aware of the guidelines which include information on the following:

- Composition of the transfer assessment panel
- Evidence upon which the transfer is based



- Conduct of the transfer examination
- Possible recommendations following transfer
- Transfer deadlines
- Information about postponement and deferral of the decision on transfer
- Recording the decision on transfer

The exact procedures for the transfer assessment may vary between individual Faculties/Schools according to the requirements of the different disciplines. Faculties/School should provide students with written guidance on the transfer process.

## 5.10 Annual Progress Report (Post-Transfer)

The University requires that the progress of all research students is monitored annually (post-transfer). Benefits include:

- Maximising the likelihood of research students completing successfully and on time
- Parity of experience for research students
- Ensures concerns are raised and addressed

Result: Improved submission and completion rates, improved standard and quality of support and feedback for PGRs and compliance with QAA Quality Code (Chapter B11: Research Degrees)

Review meetings should take place each year on or before the anniversary of the start of the studies until submission of the thesis and a report prepared following the meeting.

For example, for a full-time Provisional PhD candidate commencing study on 01 October 2015 the following is expected:

Date (by no later than)	Milestone
01 October 2015	Commencement of studies
31 March 2016	First formal progress report
30 September 2016	Transfer assessment
30 September 2017	Annual Progress Review (End of Year Two)
30 September 2018	Annual Progress Review (End of Year Three – if thesis not ready for submission)

With effect from session 2015/16 the University has introduced two models for annual progress reviews:

Model A - includes an annual review meeting with the student conducted by the supervisor(s) together with an individual independent of the supervisory team (adopted by the Faculties of Biological Sciences, Engineering, MAPS and Medicine and Health). The supervisor or the individual independent of the supervisory team must prepare a report after the meeting.

Model B - requires an annual review meeting with the student conducted by the supervisor(s) with oversight of the report emerging from that review by a Research Degrees Committee (or equivalent body) (adopted by the Faculties of Arts, Business, Environment, ESSL, PVAC)

Research students are required to submit the following in advance of the meeting:

- reflection on progress to date (with the opportunity to highlight any issues which have adversely affected progress)
- Timetable for completion (eg Gantt chart)

- Written work as required by the Faculty/supervisor(s)

There is no requirement for a research student to pass the review in order to proceed to the next year of study. However, if there are significant concerns about a student's progress the Unsatisfactory Academic Progress Procedure (UAPP) may be initiated.

## 5.11 Additional information

### *MPhil*

Students accepted directly for the degree of MPhil will not be required to undergo a transfer assessment. However, progress should be reviewed annually in the same way as for PhD students. MPhil candidates are not normally permitted to transfer to registration for the degree of PhD.

### *Postgraduate Research or Provisional PhD*

The University encourages the submission of PhD theses within the standard period of study of three years<sup>1</sup>. It is the expectation of the Graduate Board that a reasonably diligent student should be able to complete their thesis within the standard period of study, for example, within three years for a full-time PhD student. A major cause of late or non-submission is uncertainty and drift within the candidature and therefore Schools are expected to take decisions on transfer by no later than the end of the first year for full-time candidates or by the end of the first 24 months for part-time candidates.

### *Integrated degree of PhD and Master*

The Integrated degree of PhD and Master is undertaken by a combination of taught specialist modules in the first and second years, training and skills courses and research study.

A review process is undertaken at the end of each year of study, with registration as a Postgraduate Research Student in Year 1, Provisional PhD in Year 2, with a formal transfer process to full PhD registration taking place by the end of Year 2, emphasising the different stages in the progress, development and training.

Progression into Year 3 is dependent upon both success in the research degree assessment process and success in the Mastership examination.

The requirement is that students will successfully complete a number of modular courses and have been successful in the examination for the taught Mastership, and then submit their theses for examination by the end of year 4, although an overtime period of up to 12 months will be available for writing up if necessary. The work of the student is monitored and assessed throughout the programme of study to ensure that completion within the required period of time is achieved.

The regulations permit candidates to be eligible for the award of Postgraduate Certificate, Postgraduate Diploma and Mastership qualifications at certain exit points in the programme, provided that they have satisfied the relevant regulations for the award of these qualifications, if they either decide to leave or do not progress beyond the relevant stages. Supervisors should refer to the Programme of Study entry for the specific research degree in [Ordinance and Regulations and Programmes of Study for Research Degrees](#)

### *DBM and EdD*

The study requirements for all of the taught modules must be completed before the transfer can take place. "Study requirements" refers to attendance at classes, tutorials etc rather than to assignment completion or grading, since waiting for the latter could seriously delay the transfer process.

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<sup>1</sup> Except in certain PhD programmes where the standard period of study is 4 years full-time study.



### *DClinDent, DPaedDent*

The student must have passed all taught modules which have been delivered and examined up to the point of transfer.

### *DClinPsychol*

During the second year of the programme students are required to submit a research proposal and a report on their progress. This is reviewed by an assessment panel and an oral examination will be held by the end of April.

### *MD*

Students will be accepted initially as Provisional MD candidates. Students will be required to undergo an assessment for transfer to registration for the degree of MD.

### *Mastership by Research<sup>1</sup>*

Candidates for Masterships by Research are expected to be of a high quality and the research work and thesis should be completed and submitted within 12 months of full-time study (or 24 months of part-time study). The research project should be clearly defined and planned before the student commences study. Students wishing to proceed to PhD study must complete and submit their Master's thesis before commencing study for a PhD degree.

Students for a Mastership by Research cannot normally transfer registration to MPhil or PhD.

### *Change of Programme: MA by Research to Provisional PhD Registration*

Only MA by research students registered in the Faculty of Arts may request permission to change their registration status to "provisional PhD student" and to undergo an assessment for transfer to PhD status.

This must be approved by the Graduate Board by no later than nine months from the date the student started full-time MA by research study (or 18 months if studying part-time). The period of study registered on the MA by research programme will be counted in total towards the doctoral candidature. Further information is available via [the SES website](#)

## **5.12 Independent Assessor/Internal Examiner**

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 it is considered that direct involvement in the academic assessment, monitoring and provision of feedback on the PGR's work is not appropriate subsequent to the transfer review (for example reading and commenting on academic work submitted by the PGR at the end of years 2 and 3) and prior to the final examination

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<sup>1</sup> Candidates for Masterships by Research are expected to be of a high quality and the research work and thesis must be completed and submitted within the specified standard period of study.

## 6 Periods of Study and Completion

### 6.1 Responsibilities of the school, candidate and supervisor

#### *Regulations*

The University has clear regulations regarding the maximum time limits for the submission of research degree theses.

Full details of the standard and maximum periods of study for each research degree programme are set out below.

### 6.2 Periods of study

The tables below detail the standard and maximum periods of study for the University's research degree programmes as governed by the University of Leeds [Ordinance and Regulations for Research Degrees](#)

The standard period of study is the typical time between initial registration and submission of the thesis for a specified research degree programme. All research students should aim to submit their thesis within this timescale.

The maximum period of study is the time limit, as defined in the *Ordinance and Regulations for Research Degrees*, for submission of the thesis for the specified research degree programme.

#### 6.2.1 Periods of study for students

Degree	Mode of Study	Standard Period of Study	Maximum Period of Study (time limit for submission)
PhD	Full-time	3 years <sup>1</sup>	4 years
	Part-time	5 years	7 years
Split-Site PhD	Split-Site	Variable	Variable
Integrated PhD	Full-time	4 years	5 years
EdD	Full-time	3 years	4 years
	Part-time	5 years	7 years
DClinPsychol	Full-time	3 years	4 years
DBM	Part-time	5 years	7 years
DClinDent	Full-time	3 years	4 years
	Part-time	5 years	7 years
DPaedDent	Full-time	3 years	4 years
	Part-time	5 years	7 years
DHSC	Full-time	3 years	4 years

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<sup>1</sup> in some specified cases the standard period of study may be 3-4 years

	Part-time	5 years	7 years
MD	Full-time	2 years	3 years
	Part-time	3 years	5 years
MPhil	Full-time	2 years	3 years
	Part-time	4 years	6 years
Mastership by Research	Full-time	1 year	1 year
	Part-time	2 years	2 years

The periods of study for MPhil, PhD, DBM, EdD, DClinPsychol, DClinDent, DPaedDent and DHSC will normally include the first year (irrespective of whether the candidate is registered for a degree or in one of the provisional categories), for example, a 3-year full-time PhD student might progress as follows:

October 2015	admitted and registers as a provisional PhD candidate
May 2016	registration transferred to PhD
October 2016	registers as PhD candidate
February 2018	research work completed
September 2018	external funding finishes - student registers as full-time, part-time or in overtime period (formerly known as "writing-up") as the school requires
December 2018	thesis submitted for examination

A full-time PhD, EdD, DPM, DClinPsychol, DClinDent, DPaedDent or DHSC thesis must be submitted within four years of the date of commencement of study (i.e. within the maximum period of study for the research degree).

### *Responsibilities*

Schools are responsible for ensuring that research topics or projects are suitable in length and scope for the individual programme and period of study. In the case of a PhD or MPhil, this would normally be three or two years full-time research respectively. Topics should not become over-extended or too ambitious for completion within the standard period of study.

Supervisors have the duty of encouraging students to pursue their work with proper diligence and in accordance with the programme of study that has been worked out for the student. Students can often fail to appreciate the difficulty of completing their work within the period required. It is certainly the case that if a student leaves the University for reasons of employment during the candidature, the chances of submitting satisfactorily are significantly reduced. It is, therefore, most important that students are made aware of the difficulties of completing and submitting their work if they propose such a course of action.

Supervisors must make any misgivings about the suitability of a candidate for the research degree known to the Postgraduate Research Tutor or Head of School at an early stage. Although this is particularly important in the first year/at the transfer stage, schools have the right, following completion of the Unsatisfactory Academic Progress Procedure, to recommend to the Graduate Board's Programmes of Study and Audit Group that a student is required to withdraw from their studies at any stage if progress is unsatisfactory.

Students are advised to keep in touch with their supervisors and, particularly, to advise their supervisors if their project appears to be developing serious academic deficiencies may not be capable of completion within the required time or they are not being provided with sufficient technical or resource support. If at any stage they feel supervision has become inadequate this should be drawn to the attention of the

Postgraduate Research Tutor or appropriate senior member of staff in the Faculty/School. Students should be reminded that beyond their supervisor(s) there are further levels of support within the Faculty/School available to them. These include the Postgraduate Research Tutor, Head of School and Faculty Director of PGR Studies.

In order to keep the research on course for submission before the maximum time limit it is expected that supervisory contact will continue during the overtime period. Full-time students will continue to be entitled to a minimum of 10 supervision meetings per year (and part-time students a minimum of 5 supervision meetings per year). During any overtime period, the student should be completing the writing of the thesis, and not undertaking further research. Schools should ensure that students who are involved in further research register as full-time or part-time students and they will be required to pay fees accordingly.

### 6.2.2 Split-Site Models for PhD study from 2007-2008

These are summarised below:

	Model A	Model B	Model C
Method of Study	Full-time	Full-time	Part-time
Standard Period of Study (for those students commencing their study from 2013/14)	3 years	3 years	5 years
Period of Study required in Leeds	18 months	18 months	8 months
Timing of Transfer Process	End of first year	End of first year	End of second year
Maximum Time Limit for Submission	4 years	4 years	7 years

## 6.3 Alterations to periods of study

### 6.3.1 Reduction to the standard period of study

In some cases the Graduate Board may approve a reduction in the standard period of study to enable a thesis to be submitted early for examination. Recommendation from a Postgraduate Research Tutor can only be made in cases where:

- (a) the thesis is complete and is ready for submission;
- (b) the thesis has been read in its entirety by the supervisor(s). The supervisor(s) must confirm in writing that he/she has read the thesis and that their view is that it is ready for examination.

There are limits on the length of reduction of the period of study that may be approved by the Graduate Board (with no reduction permitted for the Mastership by Research). Full details of the earliest dates for submission are provided below.

### 6.3.2 Earliest Dates for Submission

PhD, EdD, DPaedDent, DClinDent, DHSC full-time	at the end of 2 calendar years of full-time study
PhD, DBM, EdD, DPaedDent, DClinDent, DHSC part-time	at the end of 3 calendar years of part-time study
PhD split-site	at the end of 3 calendar years of study under split-site arrangements
Integrated Degree of PhD & Master	at the end of 3 calendar years of full-time study
MD full-time	at the end of 1 calendar year of full-time study
MD part-time	at the end of 2 calendar years of part-time study

Self-funded research degree candidates (except those registered for the degree of Mastership by Research) who submit their theses for examination before the end of their standard period of study for which they have paid academic fees in full may be eligible for a partial refund of fees subject to successful completion of the examination. No refund will be made unless all academic fees have been paid at the appropriate stage required by the University.

### 6.3.3 Suspensions and extensions

Some students will encounter events or circumstances which disrupt their academic progress (eg ill-health, personal difficulties). In many cases students will recover any time that is lost during their candidature but where difficulties are sufficiently disruptive this may not be possible. The University accommodates such circumstances by considering a period of suspension or extension of study which will lengthen the overall candidature and delay the deadline for submission of the thesis for examination. In all cases the length of suspension or extension requested should be reasonable in the sense that it bears close relation to the difficulties experienced by the student. For example, it is unlikely that a 6 months suspension of study will be granted for a minor illness.

It is the responsibility of a student, who is unable to study or believes their progress is significantly disrupted, to inform their supervisor or Postgraduate Research Tutor/Graduate School Office/School PGR Administrator and to provide appropriate documentary evidence (eg doctor's letter).

It is important that the student does not let time pass without informing their school and, where appropriate, requesting a suspension. A suspension will not normally be backdated by more than one month. If a student does not keep in contact with their School and advise of any problems he/she has encountered they may lose the time available to complete their research.

It is the responsibility of the supervisor to:

- Alert the Postgraduate Research Tutor to any situation where it may be necessary to request a suspension or extension of study for a student
- Report to the Faculty/School where there has been no contact with an individual research student for a month or where there has been a pattern of absences affecting the student's progress or causing concern for the student's well-being in accordance with the [University's Attendance Monitoring Policy](#)

#### *Authorised absence*

This is a short period of absence from studies (normally up to four weeks duration in addition to any period of annual leave (five weeks)) in any one calendar year authorised by the supervisor. The absence will not

have any effect on the student's ability to meet deadlines and no lengthening of the candidature will be authorised.

### *Suspension of Study*

A suspension of study is a period of interrupted study (of more than one month) when the student temporarily leaves the programme and loses their registration status. During this time the student is not expected to progress their research or pay academic fees. They are not entitled to supervision and do not have access to the library or other University facilities (eg laboratories). Access to IT facilities (eg email), however, will remain available.

A period of suspension will not count towards the deadlines for the research degree including the transfer deadline (if this has not taken place) and the maximum time limit for submission of the thesis. Deadlines will, therefore, be lengthened to take account of the suspension period.

When the student resumes study, it will be on the basis that s/he is medically fit to do so and/or that the difficulties have been overcome satisfactorily. Where appropriate satisfactory medical evidence of fitness to study is required.

### *Extension of Study*

An extension of study is a lengthening of the candidature to take account of unexpected/unavoidable disruption to studies which has slowed down academic progress significantly. The student will not leave the programme and during a period of extension the student will continue to progress their research.

Typical reasons for extension include recovery from accident or illness, significant personal difficulties.

Requests will normally be made prior to the completion of the standard period of study and at a point when it is clear how much of the time lost has been compensated for during the standard period of study. A timetable for completion, agreed by the student and supervisor(s) will be required.

In very exceptional cases where the research of a PhD student reveals a substantial quantity of unexpected new material during the third year of full-time study, consideration may be given by the Graduate Board to an extension of up to one year.

Cases will be considered very closely by the Graduate Board and it is anticipated that the number approved will be small. In the case of Masterships by Research, the maximum period of extension permitted on academic grounds is 3 months.

### *Process for Requesting Suspensions and Extensions of Study*

Faculties/Schools have their own local level arrangements by which students are able to submit requests for suspensions/extensions of study. The Faculty Graduate School Office/School PGR administrator will be able to advise about local processes. [Information and guidance](#) is also available on the SES website.

The Postgraduate Research Tutor is responsible for submitting requests for suspensions/extensions of study to Postgraduate Research and Operations for consideration by Graduate Board. All requests are subject to the approval of the Graduate Board.

When considering requests for suspensions and extensions of study the Graduate Board will take due regard of the University's regulations and external factors including Home Office and Research Council requirements.

Students are responsible for checking any implications on their funding with the scholarship/awarding body or provider.

information for international students

International students (in the UK with permission as a student) should be advised to contact the International Student Office for immigration advice on the implications of a suspension or extension of their research degree candidature to their visa status. The International Student Office can be contacted on Tel: +44 (0)113 343 3930 or Email: internationalstudents@leeds.ac.uk

<http://students.leeds.ac.uk/internationalstudentoffice> Additional information is available at <http://students.leeds.ac.uk/immigration>

### *Limits on the Length of Suspensions/Extensions of Study*

No student commencing their research degree studies after 01 August 2012 will be granted periods of suspension, and extension, equivalent to more than 2 calendar years for a full-time student (3 calendar years for a part-time student). In the event of a student wishing to exceed this limit, unless exceptional permission from the relevant committee is granted, they will be required to withdraw from their candidature, but may be permitted to apply to commence a new candidature.

### *Frequently Asked Questions*

The Graduate Board has a [policy on Suspensions/Extensions of study](#) for postgraduate research students.

The policy includes information on:

Responsibilities of students/supervisors

Definition of a suspension of study

Definition of an extension of study

Process for applying for a suspension/extension of study

Information about any documentary evidence that may be required:

Grounds for suspensions/extensions that are likely to be considered sympathetically (and those which are unlikely to be considered sympathetically)

Attendance monitoring requirements in relation to International students who are in the UK on a Tier 4 (General) Student visa under the Points Based System

### *Unsatisfactory Academic Progress Procedure (UAPP)*

A student can expect their supervisor(s), as part of the normal supervisory process, to draw to their attention problems with their academic progress when they arise. This should be done in writing and records kept. However, if a student's academic progress continues to be unsatisfactory then the [Unsatisfactory Academic Progress Procedure](#) may be instigated. Instigation of the UAPP can take place at any stage in the candidature (that is both before and after the transfer stage and during the overtime period).

Unsatisfactory academic progress is usually identified when a student has not met the requirements set out under responsibilities of the student in the Code of Practice for Research Degree Candidatures. Examples of unsatisfactory academic progress include:

- failure to provide evidence of satisfactory progress,
- failure to present written work to an adequate standard,

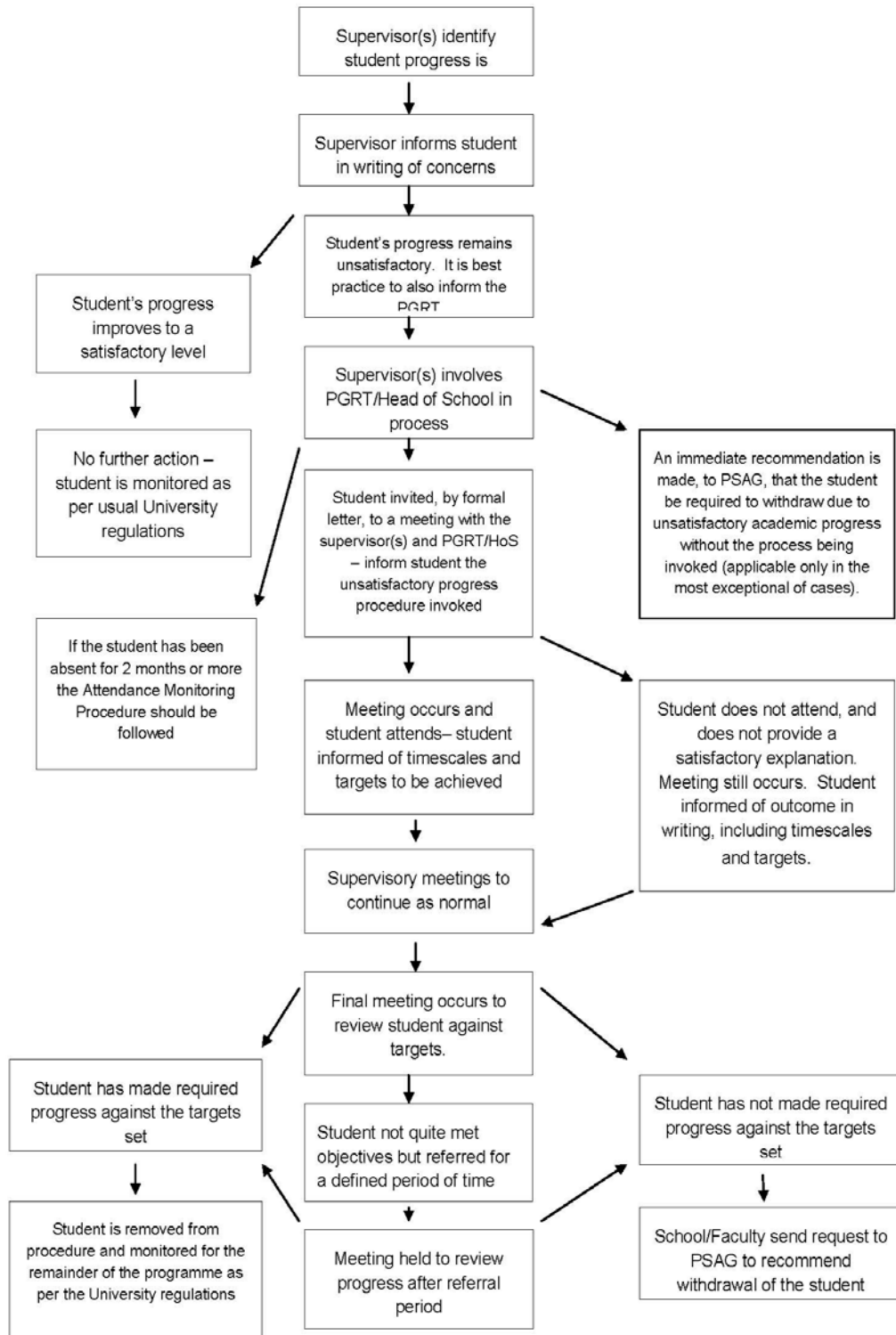
- failure to present work at an agreed timescale,
- failure to maintain regular contact with their supervisor(s) and to attend formal supervision meetings.

The Postgraduate Research Tutor and Supervisor(s) should meet with the student (who may be accompanied by a friend). Clear, realistic and measurable targets for improving performance should be set and the student should be advised that failure to meet these requirements may lead to a recommendation for the termination of the candidature and a case would be put to the Graduate Board's Programme of Study and Audit Group.

Students may seek advice and support, when notified that the Unsatisfactory Academic Progress Procedure has been instigated, by contacting the Student Advice Centre of the Leeds University Union where experienced staff are able to provide guidance.



### Unsatisfactory Academic Progress Procedure – Summary Flowchart



## 6.4 Other candidature changes

### 6.4.1 Change in the arrangements for supervision

Supervisory teams are set up with the intention that they will remain the same for the duration of the candidature. In some cases, however, the supervisory team appointed for a particular candidate may need to change during the period of study.

Routine circumstances where alternative arrangements should be put in place include:

- The main supervisor has research leave and is unable to continue supervision during this period.
- The supervisor leaves the University.
- The supervisor is on long-term sick leave.

The supervisor should keep the Head of School informed of any absences likely to impact upon time available for supervisory duties. In circumstances where a supervisor leaves the University or if they are unable to supervise a student due to absence for a period of two months or longer and will not continue with supervisory meetings during this period they must ensure that, prior to their departure, the Head of School<sup>1</sup> is notified. In this situation, alternative and acceptable supervision arrangements must be put in place to ensure that 10 supervisory meetings required for full-time students (5 meetings for part-time students) during the year take place as planned and the continuity of supervision is maintained.

Recommendations for any changes in supervision arrangements must be made to Postgraduate Research and Operations so that updates may be made to the student's Banner record. This is important not only for the effective administration of the candidature but also for the maintenance of data quality to meet the University's various reporting requirements (e.g. REF).

The Postgraduate Research Tutor should ensure that some appropriate arrangements are made for advising the student and that the progress of a research student is not detrimentally affected by the absence of the supervisor.

Any changes made to the supervisory team will then be reflected in the PDR.

### 6.4.2 Leaving the University early

A student may find it necessary to leave the University either permanently or temporarily before completing their studies. A student should first discuss this with their supervisor(s), Postgraduate Research Tutor or Head of School. If it is agreed that they should leave permanently they should fill in a [Leavers Form](#) which can be obtained from the Faculty/School. This should be returned to the Faculty/School together with their Student Identification Card.

If a student faces special difficulties such as prolonged ill health or particularly serious personal problems it may be necessary to temporarily suspend their studies.

Withdrawal from the University may affect any grant entitlement and it is therefore sensible for students to contact their sponsor if they are considering permanently withdrawing or temporarily suspending their studies to see how it might affect their position. If an international student is thinking of suspending or withdrawing from their studies, and is in the UK on a Tier 4 General Student Visa, they should visit the International Student Office for immigration advice before making their decision.

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<sup>1</sup> Responsibility for recommending the appointment of suitable supervisor(s) to the Graduate Board rests with the Dean of the Faculty, Faculty Director of Postgraduate Research Studies or Head of School. In practice responsibility for overseeing supervisory arrangements is normally delegated to the Postgraduate Research Tutor.

### 6.4.3 Immediate temporary dismissal associated with ill health

Where it is judged by a Faculty/School that a student is suffering from serious ill health, and the student has declined to seek medical help and advice or the effects of the treatment are insufficient to allay the School's concerns including those related to duty of care, the Faculty/School can request that the student be declared medically unfit to continue his/her programme of study. A report will be made to the relevant office (Head of the Office of Academic Appeals and Regulations). The case will then be forwarded to the relevant Pro-Vice-Chancellor for consideration and determination. As the circumstances allow, the student will be consulted.

If a student is required to withdraw under this procedure, they will be recorded as temporarily withdrawn from the University for reasons of ill health. The Head of the Office of Academic Appeals and Regulations will take the necessary action to have the record amended. The student will only be readmitted if and when they are declared medically fit by the University Medical Officer. Subject to this and the maximum registration period for the programme of study as allowed for by the relevant Ordinance, a student will retain the right of readmission.

## 6.5 Support for Pregnant Students and students with very young children

The University is committed to ensuring that any student who becomes pregnant before or during a period of study at the University is accommodated as far as possible to allow her to complete her programme of study, providing academic standards are upheld.

A student who becomes pregnant is strongly advised to discuss the implications of this for her programme of study at an early stage of her pregnancy; particularly where elements of her programme of study might present her, or her unborn child, with a health and safety hazard. In the first instance she may approach any member of staff with whom she feels comfortable. Advice on specific health and safety hazards for new or expectant mothers is included in the [policy on support for pregnant students](#).

## 6.6 Support for students who are parents or carers

The University of Leeds believes that being or becoming responsible for a child or dependant adult should not, in itself, be a barrier to a student, or prospective student, starting, succeeding in, or completing a programme of study at the University of Leeds. The University is committed to being as flexible as possible, whilst, at the same time, making sure that any accommodations made for the student do not compromise academic standards. Further information is available on the University policy on support for students who are parents or carers

## 7 Thesis Submission and Examination

### 7.1 Overview

*During the final year of the [standard period of study](#)*

- During the final stages of study the student should attend any relevant workshops and consult the [Guide to the thesis examination process](#) in preparation for submission and examination.

*Well in advance of the intended thesis submission date (at least 3 months) - [Enter for Examination](#)*

- The student must fill out the [Examination Entry Form](#) and pass it to their Supervisor who must then approach potential Examiners. The form should then be passed to PGRT for review and then forwarded to PGR & Operations at least 3 months before thesis submission. The [Examinations Group](#) will review and approve recommendations for the examiners.

*At the end of the standard period (but no later than the maximum time limit) - [Submit the thesis](#)*

- The thesis should be submitted at the end of the [standard period of study](#) but by no later than the maximum period of study for the degree on which the PGR is registered. The thesis is dispatched to examiners, normally within 2 working days.

*Within 3 months of the thesis being sent for examination - [Attend for oral examination](#)*

- The PGR must attend for an [oral examination](#). The Internal Examiner makes the arrangements for this. The examiners are asked to accept a timescale of 3 months from receiving the thesis to complete the examination (6 months for MD)

*Within 4 or 12 weeks of successful oral examination- [Complete any minor corrections](#)*

- The examiners usually notify the student of the [recommendation](#) after the viva but must do so within 24 hours and then prepare their report, which is considered at the next [Examinations Group](#) meeting. In all cases the recommendation is subject to final approval by the [Group](#). The student should begin any minor corrections<sup>1</sup> immediately after the viva and return them to the Internal Examiner by the 4 or 12 week deadline.

*Within 1 month of completing any corrections - [Deposit the final thesis and eThesis](#)*

- The final hard bound thesis must be submitted (and eThesis upload is required) no later than 1 month after the internal examiner has given approval to the corrections.

*After deposit of the corrected thesis & approval by Examinations Group - [Publication of Pass List](#)*

- The pass list is published after deposit of the final thesis, confirmation from the internal examiner of any corrections, approval of the examiners' report by the Examinations Group and payment of any outstanding tuition fees. They will then be eligible to [graduate](#).

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<sup>1</sup> Referred students will receive *Notes for Guidance* to aid them in preparing for resubmission

## 7.2 Preparation for thesis submission and examination

In the [Code of Practice for Research Degree Candidatures](#) the responsibilities of supervisors include:

- Ensuring that the student is aware of the University arrangements for the examination of research degree theses; and the time limits for submission and ensuring that the student receives appropriate guidance about the oral examination including, where requested, a “mock viva”

### *Thesis preparation and viva workshops*

A range of support is available to PGR students nearing the completion of their research degree. The [Graduate Training and Support Centre](#) offer training and development opportunities for postgraduate researchers targeted at completing their research on time. Full details are available on their [website](#) but include:

- ‘The Final Stages of your Research and Thesis Presentation’ - Includes guidance on the format regulations for thesis, eThesis and copyright issues, the process to submission and the options open to examiners following the viva.
- ‘Preparing for your Viva’ - Reviews the purpose of the viva, the viva format and associated regulations, types of questions and an opportunity for participants to practice in responding to typical Viva areas of questioning.

### *Mock viva*

Students are advised to consult their supervisor(s) for appropriate guidance in preparation for their oral examination. **Supervisors should note that many students find the provision of a ‘mock viva’ extremely beneficial in preparation for the oral examination and, where requested by the student, supervisors should organise a ‘mock viva’.**

The University provides all examiners with good practice advice on the conduct of the oral examination and students may also find it helpful to consult this [advice](#)<sup>1</sup> when preparing for the viva.

### *Assessment criteria used by the examiners*

Students should be advised, at an early stage in their candidature, to make themselves aware of the criteria for award of the research degree programme for which they are registered. The requirements and learning outcomes for research degrees are provided in the [Ordinance and Regulations and Programmes of Study](#). This is the criteria that will be used by the examiners when examining the thesis at the final examination stage.

For example, to qualify for the award of the degree of Doctor of Philosophy (PhD):

#### *Criteria for the award of PhD*

To qualify for the award of the degree of PhD the student must meet the required learning outcomes for the degree and satisfy the examiners that their achievement is of sufficient merit and that their thesis contains evidence of originality and independent critical ability and matter suitable for publication through:

- (a) presenting a thesis or alternative form of thesis as prescribed by the

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<sup>1</sup> Included in the full [Instructions to Examiners](#) document

Regulations on the subject of his/her advanced study and research; and  
(b) presenting him/herself for an oral examination and such other tests as the examiners may prescribe.

After the oral examination the examiners must produce a joint report which outlines their recommendation. Again, students might find it helpful to look at the [examiners' report form](#) which describes the criteria against which their examiners will be assessing their work.

For example, in the case of PhD (or other doctorate) the examiners are required to report to the University as follows:

*Questions in the PhD (or other doctorate) examiners' report form*

- Briefly describe the nature and purpose of the investigation
- Comment on the evidence of originality, with an indication of the nature of any such evidence (specific examples should be given):
- Comment on the evidence of independent critical ability, with an indication of the nature of any such evidence (specific examples should be given)
- Comment on the extent to which the thesis contains matter suitable for publication. The response should identify both the part(s) of the thesis containing material of publishable quality and cite instances of where the material has or might be published.
- Comment on the written style and overall presentation of the thesis
- Comment on the performance of the candidate in the oral examination

## 7.3 Examination Entry

*Timescale for submission of the entry form*

The [Examination Entry Form](#) should be sent to PGR & Operations at least 3 months before the planned submission date of the thesis. Late submission of the examination entry form is the biggest cause of delays to the examination. Entry forms received only shortly before - or after - submission of the thesis will delay the dispatch of theses to the examiners and the viva arrangements. This could have implications for any PGR student, but in the case of a Tier 4 student, could also lead to the University having to withdraw sponsorship<sup>1</sup> if the viva will not be scheduled within 3 months from thesis submission. Students and supervisors should therefore start thinking about the examination entry form well in advance of thesis submission, as it may take time to find suitable examiners who are available to examine the thesis. The form will remain valid for 12 months from the date of approval by the Examinations Group and therefore the early submission of examination entry forms is encouraged wherever possible.

*Nomination and approval of Examiners*

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<sup>1</sup> In this instance the student should contact the International Student Office for advice.

A summary of the [eligibility criteria](#) is outlined below but before completing recommendations supervisors should consult the [full eligibility criteria](#). Students may be asked by supervisors for their views on individuals who might act as Examiners but the decision about the recommendations for appointment will be made in consultation between the supervisors and the Postgraduate Research Tutor. The Examinations Group is responsible for the final decision for the appointment of examiners and is not bound to accept recommendations for examiners from the School.

The *internal examiner* should normally:

- Be a member of the academic or academic related staff.
- Hold a permanent appointment of the University of at least 0.3 FTE.
- Have completed any relevant probationary period.
- In the last 5 years, have either completed the [SDDU course/briefing](#) or acted as internal examiner at Leeds.
- Not have been involved in the supervision of the candidate.

The *external examiner* should normally:

- Be a senior<sup>1</sup> member of staff of a university or higher education establishment.
- Have prior knowledge and experience of UK research degree examinations and standards through previous UK examination experience<sup>2</sup>.

Between them, the proposed team should have a balanced level of seniority<sup>2</sup> and previous research degree examination experience in the UK. This does not mean that a recently appointed lecturer, someone early in their career or individuals from overseas or industry cannot be appointed as examiner, but you should partner them with a more senior and experienced examiner who has experience of the UK research degree examination process.

#### *Independent Chairs for research degree oral examinations*

The Examinations Group may require the appointment of an Independent Chair to ensure the best student experience if the team of examiners with the most appropriate subject knowledge have, for example, minimal UK examining experience or seniority. For further information please consult the [full eligibility criteria for the appointment of examiners and independent chairs](#).

#### *Training for Internal Examiners*

Graduate Board requires all Internal Examiners to complete a University training course on the role before acting at Leeds. This applies both to those new to the role and those who are experienced examiners at other Institutions but are new to Leeds or have not acted at Leeds in the last 5 years. Please consult the [full eligibility criteria](#) for further details.

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<sup>1</sup> For the purposes of this criteria “Senior” is defined as Senior Lecturer (or equivalent) or above; (normally Grade 9 or above).

<sup>2</sup> You will need to provide information about the nominated external's previous examination experience in the UK on the examination entry form. Where individuals who do not meet this criteria are recommended for appointment Schools are required to make a special case for appointment.



## 7.4 Thesis Presentation and Submission

### 7.4.1 Introduction

All candidates must submit their thesis for examination by the end of the maximum period of study (i.e. the maximum time limit) for the research degree programme upon which they are registered, as governed by the University's regulations. However, all candidates should aim to submit their thesis within the standard period of study prescribed for the programme. Standard periods of study and overtime periods vary for different programmes of study.

It is the responsibility of supervisors to advise students at an early stage of their research with regard to the high standards of academic conduct which are expected and in particular of the need to avoid conduct amounting to the fabrication of research results or plagiarism. Supervisors should always be vigilant in respect of the possibility of plagiarism.

### 7.4.2 Content and style

The supervisor will offer advice to the student on matters such as clarity of expression and style, as well as on the academic content. In preparing the final version of the thesis, students may find it helpful to look at other theses which have been submitted and accepted previously at this University. All successful theses are lodged in the University Library and many more are available through [White Rose eTheses Online](#).

The thesis must be the student's own work. Supervisors are required to read and comment on the whole of the draft thesis prior to submission provided it is submitted within a reasonable time. The candidate must realise that, at this stage, the relationship between the Supervisor and the student is essentially one of academic equals in the particular research area concerned and the Supervisor's advice must be seen as being offered in that context.

Whatever the timing of the submission, all candidates are solely responsible for the decision to submit their work for examination. Candidates are, however, strongly recommended to seek advice from supervisor(s) before submission. Students are warned against premature submission and especially not to submit without the support of their supervisor. However, students retain the right to submit against their supervisor's advice. Supervisors are asked to inform the Head of the School if a student submits against their specific advice, and if a student refuses to show the thesis to the supervisor, a note should be included in the student's file.

The Graduate Board is clear that no research student should be allowed to think that the award of the degree is guaranteed simply because the supervisor has indicated general approval for the thesis before it is submitted. It is expected that the supervisor will inform the candidate in writing of any specific serious deficiencies which the supervisor has noted in the thesis prior to submission.

### 7.4.3 Preparing the thesis for Submission

Students must refer to the University's *Thesis Format Requirements* which are published in the [Guide to the thesis examination process](#) before preparing the thesis for printing and binding. This provides detailed advice on layout, typefaces, binding and University requirements for the format of the thesis. Attention is drawn below to some of the key arrangements.

#### *Language of the Thesis*

Candidates for all awards must present a thesis which should be written in English with the exception of modern languages where, in certain circumstances approved by the Graduate Board, a thesis may be submitted in a language other than English. Please see the [separate policy](#) for further advice.

### *Length of thesis*

The University expects that theses will normally not exceed the maximum lengths at set out in the [Guide to the thesis examination process](#). It is therefore in the student's own interests to consider the question of overall length during the initial stages of thesis preparation. If the student believes they cannot avoid exceeding the maximum length they should talk to their supervisor and then, if necessary, the PGRT will seek approval from Graduate Board.

### *Inclusion of a CD of supplementary material/data*

Where a candidate wishes to include a CD of supplementary material/data as part of their thesis submission, the [Inclusion of CD with a Thesis Form](#) must be completed and submitted to Postgraduate Research and Operations alongside the completed [Examination Entry Form](#).

### *Use of solely or jointly-authored publications within a thesis submission*

Where work which has formed part of a solely or jointly authored publication is to be included in a thesis, candidates must declare their intention to use this on the examination entry form. In the case of work from jointly authored publications an outline of their contribution to the paper and that of the other authors must be provided. Further detail is given in the [Guidelines on the Use of Solely or Jointly-Authored Publications](#).

### *Alternative style of doctoral thesis including published material (Faculty of Environment only)*

Doctoral candidates in the Faculty of Environment who wish to consider this route to submission must first discuss this with their Supervisory team. This model of thesis can only be submitted where the supervisory team supports this format of submission and is satisfied it is appropriate and meets the protocol in place for that Faculty. For further information, please consult the [Faculty of Environment protocol for the submission of an alternative style of doctoral thesis](#).

### *Alternative forms of submission: practice-led degrees*

Students and Supervisors should ensure they are fully aware of the submission requirements for these degrees as detailed in the [Faculty's protocol for practice-led degrees](#).

### *Binding of thesis for submission for the oral examination*

It is normal practice to submit a thesis for examination in temporary (soft) binding. Further information is given in the [Guide to the thesis examination process](#). The [Print & Copy Bureau](#) can produce a soft bound thesis which meets the regulations. The costs associated with preparing a thesis are not covered by academic fees and may be expensive depending upon the length and style. Supervisors and schools are asked to advise on ways in which costs may be kept to a minimum.

## **7.5 Submission of the thesis for oral examination**

Students must refer to the [Guide to the thesis examination process](#) for detailed advice on the process for thesis submission. Attention is drawn below to some of the key arrangements.

### *Process for submission*

Submission can be made in person at the [Student Services Centre Counter](#) in the Ziff Building, or by post. One copy of the thesis must be provided for each examiner. Students and Schools are not permitted to send the thesis directly to the examiners. Students are to be advised that they are solely responsible for their thesis and that they must check this thoroughly before submission. Once submitted, the thesis cannot then be changed, amended or added to, even if issues with the content or presentation are identified.

### *Thesis Dispatch to the Examiners*

The thesis will be sent to the Examiners normally within 2 working days providing that the examination entry form has been approved by the Examinations Group. The internal examiner is then responsible for making arrangements for the viva.

### *Use of University facilities whilst awaiting oral examination*

All research students awaiting examination are permitted to use University facilities for up to 6 months from the date of submission of thesis without charge. Arrangements for this are made at the time of thesis submission.

### *Attendance monitoring for students 'under examination' and awaiting viva*

Students who have submitted their thesis and are preparing for their viva must continue to attend to the satisfaction of their School. In the case of Tier 4 students this is essential to enable the University to meet the Home Office requirements. This could include, for example, any viva preparation meeting(s) with the supervisor and/or a mock viva. Please see the [attendance monitoring policy](#) for further advice. If the student is studying on a Tier 4 visa, and the oral examination is scheduled outside of 3 months from submission of the thesis, the University may not be able to continue to sponsor them to remain in the UK whilst they are 'awaiting examination'. In this instance they should contact the International Student Office for advice.

## **7.6 Arrangements for the oral examination**

Students must refer to the [Guide to the thesis examination process](#) for detailed advice on the arrangements for the oral examination. Attention is drawn below to some of the key arrangements.

### *The Oral Examination*

All students are required to submit for an oral examination also known as a viva. The viva is an important part of the examination process. The purpose of the viva is to ensure that the work submitted for examination reaches the University standards for the degree, that the student has written the work submitted and that they understand the work they have submitted.

The University does not have specific regulations regarding the length of the viva or what should be discussed except that the thesis should be discussed with the candidate. Some Examiners will also wish to satisfy themselves of the student's general level of understanding of the subject area.

The viva also gives the candidate the opportunity to answer questions in areas where the Examiners are not satisfied. For a PhD degree and other Doctoral degrees evidence of originality and independent critical ability is required and, where the evidence in the thesis is not compelling, the Examiners may use the viva to encourage the candidate to provide convincing evidence that the stated criteria can be met. A copy of the thesis (which may be unbound) should be brought to the oral examination for the students own use. Unless required for the purposes of a presentation/demonstration by the student, the use of equipment/devices during the oral examination by students or examiners is not permitted.

*NB: Additional tests may also be set by the Examiners. One purpose of these tests might be to establish that the thesis is the candidate's own work. This could include a short presentation to the examiners at the start of the viva.*

### *Arrangements for the oral examination*

Once the examiners have received the thesis they are asked to accept a timescale of 3 months in which to complete the oral examination (6 months in the case of MD candidates). Detailed arrangements for the oral

examination, which is normally held in the parent school, are made by the Internal Examiner<sup>1</sup>. The examination must be conducted in English<sup>2</sup>. Those present at the viva will be the candidate, the external examiner(s), the internal examiner(s) and the supervisor (as an observer if it is decided that they should be present).

The University requires students to be in attendance in person for the oral examination and they must make all reasonable efforts to attend for oral examination within the prescribed 3-month time period, for example making appropriate leave arrangements if in employment and visa/travel arrangements if travelling from elsewhere. Should exceptional circumstances arise which might prevent them from attending for the oral examination within the prescribed time period they must contact their Postgraduate Research Tutor at the earliest opportunity. Further information on the process to be followed in these cases is outlined in the [Guide to the thesis examination process](#).

#### *Video streaming for the oral examination*

In exceptional and unforeseen circumstances the Examinations Group may give consideration to the use of video streaming technology for the oral examination in emergency circumstances. Permission must be sought from the Examinations Group. Please see the [full policy](#) for further information.

#### *Role of the Supervisor at the oral examination*

The student may invite one of their supervisors to attend the viva as an observer. If a student has more than one supervisor, only one supervisor is permitted to attend the viva. If not present as an observer the supervisor is required to be available for consultation if necessary (ideally in the School but contactable by telephone is acceptable). A supervisor may only attend with the prior permission of the candidate and must respect the candidate's wishes on this matter. If attending as an observer, they must remain silent during the examination. They may not participate in the viva and take no part in the academic judgement and the decision making process. The supervisor must leave the room after the viva (with the candidate) so the examiners can discuss their recommendation. The examiners have the right to ask the supervisor to leave the examination if they believe their presence may jeopardise the smooth running of the viva.

### **7.7 Outcomes of the oral examination**

#### *Possible recommendations*

The result of the examination should be given informally to the student, normally within 24 hours of completion of the oral examination. Students will be given one of the following recommendations:

(a) *Pass (no corrections)*

Where the student has met the learning outcomes, and the thesis satisfies the requirements for award without alterations.

(b) *Pass with editorial and presentational corrections*

Where the student has met the learning outcomes and the thesis satisfies the requirements for award but is found to contain minor editorial errors (e.g. trivial errors, typographical errors, simple mistakes of fact or the insertion of headings or other 'signpost' material for the sake of clarity). The student must normally return the corrections to their Internal Examiner within 4 weeks of the viva.

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<sup>1</sup> The School/Examiners are expected to take account of known religious observances when arranging oral examinations for research students.

<sup>2</sup> With the exception of research degrees in the modern languages where, in certain circumstances approved by the Graduate Board, the oral might, with the agreement of the external examiner, be conducted in a language other than English

(c) *Pass with minor deficiencies*

Where the student has met the learning outcomes and the thesis satisfies the requirements for award but is found to contain deficiencies which are genuinely minor in nature (e.g. rewriting of sections, correcting calculations or arguments and the correction of minor typographical errors). The student must normally return the corrections to their Internal Examiner within 12 weeks of the viva.

(d) *Referral for resubmission*

The student will be required to revise their thesis, which may entail further research or any other activity required by the examiners, and resubmit this for re-examination. More detailed information is available in section 7.12 of this Guide and on the [website](#).

(e) *MPhil award on a PhD submission*

This recommendation applies to those candidates who fail to achieve the standard for the award of a PhD but who nevertheless satisfy the criteria for the award of the degree of MPhil.

(f) *Fail*

If the examiners recommend that the thesis be failed there is no further opportunity to revise and submit the work. In their report the examiners must clearly explain their reasons for not recommending the award of a degree.

*Research Excellence/distinction*

A Mastership by Research and the degree of MPhil may be awarded with distinction; such an award is not possible with other research degrees. Where examiners identify doctoral students who have submitted an excellent thesis a recommendation can be made for a letter of this outstanding achievement to be sent by the Dean of Postgraduate Research Studies.

*Graduate Board's Examinations Group*

After the viva the examiners must produce a joint report which outlines their recommendation. This is subject to confirmation by the Graduate Board's Examinations Group which will consider the Examiners' Report at its next [meeting](#).

## 7.8 After successful oral examination

*Correcting editorial and presentational corrections or minor deficiencies*

After successful examination students should prepare the final version of their thesis by undertaking any corrections to the satisfaction of the Internal Examiner. Individual pages of the thesis must be fully corrected and it is not possible simply to provide an errata page. Students are advised to consult with their supervisor(s) throughout this process. The 4 or 12 week period for completion of corrections begins from the date of the viva and students should therefore start work on these immediately. If a student experiences any problems returning the corrections to their internal examiner by the 4/12 week deadline they must draw this promptly to the attention of their supervisor or Postgraduate Research Tutor. In exceptional circumstances the Examinations Group may consider an extension to the correction deadline. Further advice can be found in the [policy](#).

*Approval of corrections by the Internal Examiner*

Once the student has completed their corrections they must submit these to their Internal Examiner for checking. Once the Internal Examiner has approved the corrections (after consultation with the external examiner if s/he wishes to be consulted) they should [inform](#) both the student and PGR & Operations. At this point the candidate can have the final thesis printed and hard bound and prepare their eThesis in accordance with the [Guide to the thesis examination process](#).

### *Preparing & submitting the final thesis (after successful examination)*

All students must submit one copy of their successful thesis, in hard bound format, to PGR & Operations for retention in the Library, as set out in the [Guide to the thesis examination process](#). Students should check with their School/Supervisor whether a second hard bound copy of the thesis is also required for a local Library or for the Supervisor.

## 7.9 Electronic thesis (eThesis) development for the University of Leeds

### *Preparing & uploading the final eThesis (if required)*

Storing theses and making them available in an open-access repository is becoming common practice both in the UK and internationally and ensures that the theses are appropriately described, safely housed and easy to obtain. The thesis is likely to be read more widely and will be immediately available and readily searchable. It also helps meet the requirements of certain funding bodies, including research councils. The following requirements are in place:

- Doctoral candidates who started study in or after September 2009: are **required** to submit an eThesis, in addition to the hard bound copy.
- Doctoral candidate who started study before September 2009: are **strongly encouraged** to submit an eThesis, in addition to the hard bound copy.
- MPhil and Mastership by Research candidates: are **exempt** from the eThesis requirements and must submit their final thesis in hard bound format only.

Students must upload their final eThesis directly to [White Rose eTheses Online](#) using the online deposit process. The uploaded file will not go live until after the degree has been awarded and their name has appeared on a pass list. However if the student has placed an embargo on access to the thesis then the files will not go live until after the embargo has expired. Further advice and information is available on the [eThesis section of the website](#).

### *Third party copyright and preparing a redacted eThesis (if required)*

Students are expected to make all reasonable efforts to seek permission to include third party copyright material in the electronic version of their thesis. However, it is recognised that in some cases it may not be possible to gain permission, either because permission is declined, no response is received or because it would be too expensive. This means that the student will not be able to make the full text of their eThesis available online. If the student has not been able to obtain the permission of the copyright holder they will need to prepare two versions of their eThesis (a 'complete eThesis' and a 'redacted eThesis<sup>1</sup>'). Further advice about use of copyright material and when a student may need to seek permission from the copyright holder is given on the [Library's Copyright pages](#). Further information about submission of a redacted eThesis is available in the [Guide to the thesis examination process](#) and on the [eThesis section of the website](#).

### *Thesis embargo arrangements (for doctoral candidates)*

Before uploading the eThesis students must discuss the retention of thesis arrangements with their supervisor and whether their thesis can be made immediately available or whether a restriction on access might be necessary. You will also need to agree a [Creative Commons Licence](#) for the work.

Publication of an eThesis immediately after successful examination may, in some disciplines, reduce the prospects of the publication of monographs or papers by leading academic publishers or journals. The advent of digital publication is affecting the approach taken by publishers. Where a publication is likely to

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<sup>1</sup> A "redacted eThesis" file can be uploaded with any third party copyright material redacted and replaced with a statement such as "This image has been removed by the author of this thesis for copyright reasons".



emerge from the thesis, the student should restrict access to their thesis for an appropriate period to allow their work to be published. They can restrict access to a thesis for one, two, three, five or twenty years (in the case of a patent pending). After the indicated period both the hard-bound copies and the eThesis will be released. Students must discuss these matters with their supervisor(s) before they upload their thesis.

Once the upload process has been completed both the student and the Supervisor will receive confirmation via email. **Please check the embargo details in the notification email carefully and contact PGR & Operations immediately if there are any issues with the embargo period which has been selected.** The eThesis will automatically become available when the embargo period expires. The student or supervisor must contact the University Library before the end of the embargo period if you wish to extend the period of restriction.

#### *Thesis embargo arrangements (for MPhil and Mastership by Research candidates)*

Any candidate not required to deposit an eThesis must complete a print [Thesis Deposit Form](#) and submit this to PGR & Operations with the final, hard bound version of their thesis. This form specifies the retention of thesis arrangements for the library and whether your thesis can be made immediately available or whether a restriction on access might be necessary. This form must be countersigned by the Supervisor.

### 7.10 Award of the degree and graduation

Pass Lists are published regularly throughout the year in the Student Services Centre foyer. The degree will be awarded and the student's name published on a pass list once all the following conditions have been met. In accordance with the decision of the Graduate Board no exceptions will be permitted and staff in PGR & Operations have no discretion in these matters.

- The examiners' report has been approved by the [Examinations Group](#).
- The internal examiner has confirmed approval to any corrections.
- PGR & Operations has received one copy of the final, corrected, hard bound thesis.
- All tuition fees to the University have been paid.
- If applicable, all assessed or taught modules have been completed successfully.
- The student has deposited the full text version of their eThesis in WREO (if required).
- The student has completed a [Thesis Deposit Form](#) (if an eThesis is not required)

### 7.11 Referred candidates

Referred students can consult the [website](#) for detailed advice on referral and resubmission. Attention is drawn below to some of the key arrangements.

#### *'Referral' for resubmission*

A decision to "refer" a thesis is normally interpreted as signifying that, although the thesis is potentially of a standard to merit award it does not, at this stage, satisfy the requirements and certain sections and/or aspects are in need of alteration and improvement and a re-examination will be required. A thesis may also be referred in circumstances where the candidate does not completely satisfy the examiners through their performance at the viva that the award of the degree is justified at this stage. The student will be required to revise the thesis, which may entail further research or any other activity required by the examiners, and resubmit this for re-examination.

### *Notes for Guidance*

The examiners are required to prepare notes for guidance which outline the changes required. The notes for guidance should indicate the necessary and sufficient conditions which, if complied with by the candidate and providing the thesis as a whole is satisfactory, will lead to a recommendation by the examiners that the degree be awarded. These must be submitted with the examiners' report for scrutiny by the Graduate Board's Examinations Group and will be issued to the student and supervisor(s) by PGR & Operations after approval by the Group. Schools are not permitted to issue informal notes and any advice given at the time of the viva or immediately after is informal.

### *Supervision during the referral period*

Supervisors are asked to provide up to 6 supervision meetings a year for referred candidates, but the responsibility for initiating these meetings rests with the candidate.

There is no requirement for students to stay in Leeds during their period of referral although some students may choose to do so to make use of the University facilities. Where an International student is in the UK under a student visa the University is the academic sponsor under Tier 4 of the Points Based System. As the academic sponsor, the University is obliged to meet the expectations of the Home Office in terms of reporting non registration, non attendance and/or if a student ceases their study. The School will need to implement supervision meetings or other contacts in order to monitor attendance and maintain sponsor duties. If an international referred student wishes to remain in the UK, PGR & Operations will contact the relevant School to establish that the student does need to be present at the University. The University has to be able to prove that the candidate is making progress in their studies and is in full time attendance. In these cases the normal attendance monitoring arrangements must apply with attendance/supervision meetings recorded and monitored through the PDR as standard.

In the case of international candidates who are no longer in the UK, or any candidate who is no longer in full-time residence at the University, supervision may take place by means other than face to face meetings.

It is practice for the original examining team to act again for the resubmission except in exceptional circumstances. The roles of examiner and supervisor must therefore be transparently separated during the period between the first examination and the resubmission and the examiners must maintain independence from the work before it is resubmitted. For this reason, the Examiners must not take a supervisory role during the referral period. Students must not send their thesis to the examiners for comment before resubmission. However, the examiners may provide clarification of the Notes for Guidance. Students should consult with their supervisor in the first instance where clarification is required. The Supervisor may then, if appropriate, contact the Internal Examiner.

### *Examination of the resubmission*

More detailed guidance covering the referral and resubmission process is given on the [website](#).

A minimum of three months before the thesis is resubmitted the student must enter for re-examination by completing the [Examination Entry Form](#). The thesis must be resubmitted for examination to PGR & Operations and **must not be sent directly to the examiners**. The resubmitted thesis is subject to the same process as the first examination with all examiners required to read and examine the thesis. The Examiners may hold a second viva if they deem it appropriate, however they may not recommend that the resubmission be failed or awarded a lower degree (i.e. award MPhil on a PhD resubmission) without holding a second viva. A second referral is not possible and the student will either pass (subject in some cases to editorial and presentational corrections or minor deficiencies) or fail when the examiners consider the revised submission. For candidates who resubmitted for the degree of PhD, the examiners may recommend



the award of MPhil where the student fails to achieve the standard for PhD award but nevertheless satisfies the criteria for MPhil.

### 7.11.1 Useful documents relating to Submission and Examination of theses

The following documents relating to the submission and examination of theses are published on the Postgraduate Research and Operations website:

In the [Policies section](#): (select the thesis submission and examination tab)

- Guide to the thesis examination process which includes the Thesis Format Requirements
- Good Practice Guidance on Thesis Titles
- Eligibility criteria for the appointment of examiners and independent chairs
- Video streaming policy
- Guidance on the use of solely or jointly authored publications in a thesis
- Faculty of Environment protocol for an alternative style of thesis

In the [Forms section](#) (select the thesis submission and examination tab)

- Research Degree Examination Entry Form
- Examiners Preliminary Report Form
- Examiners Report Form (and instructions)
- Thesis Deposit Form
- Inclusion of a CD within a thesis submission

## 7.12 Doctoral Extension Scheme CAS

The Doctoral Extension Scheme (DES) allows International doctoral graduates to remain in the UK for a further 12 months after their study to undertake employment. : Students must have undertaken their viva to be eligible to apply for the scheme. Once they have completed their viva they can request a CAS using the DES CAS request form. The DES CAS request form and further information can be found on the [International Student Office website](#)

## 8 Other Important Information

### 8.1 Holiday entitlement

Research students may, with prior agreement of their supervisors, take up to 25 working days holiday in each year, as well as the time during which the University is officially closed. The University is officially closed for at least 14 days in total each year (during the Christmas and Easter Periods and Bank Holidays). University closure days are available to view via [the Almanac](#)

### 8.2 Commitment to Research Activity

It is important that a research project is completed within the standard period of study. It provides the preparation and training for a professional career and requires the same commitment to meeting objectives and timescales for the completion of work. Full-time postgraduate research students are therefore expected to work on their research project for periods of time that are comparable to a full-time academic

post (the equivalent of an average of at least 37 hours a week). This does not include paid work. Part-time postgraduate research students are expected to work on their research projects for periods of time equivalent to 20 hours a week. It is inevitable that student's workload will be variable during the course of the year and it should be agreed with the supervisor(s). When approaching a specific deadline such as the submission of a transfer report or thesis additional hours of work may be necessary. Research students are encouraged to maintain a good work/life balance.

Research students, as part of their workload, are expected to undertake other professional activity, for instance to attend conferences, undertake field work and other research activities outside the University during the course of their studies.

### 8.3 Work outside a research degree programme

The University recognises that some activity such as teaching experience or other relevant professional placements may be beneficial to the career development of the student. Students should consult with their Supervisor(s) before undertaking any teaching (or other equivalent professional practice) within the University and discuss whether any teaching undertaken will adversely affect the time available for the conduct of their research.

Supervisors are asked to note that full-time students are subject to a limit of 250 hours of paid activities associated with teaching or the equivalent in professional practice within the University. Please be aware, however, that some sponsoring bodies (including Research Councils, Charities and other Sponsors) may impose a lower limit for paid activities per session. All students funded by such bodies are required to observe the limits imposed.

Supervisors are also advised to familiarise themselves with the University [Code of Practice for Postgraduate Research Students Engaged in Teaching](#)

This Code has been developed to meet the needs of students who teach at Leeds in terms of general conditions, training and reward systems and all Faculties/Schools are required to adhere to this Code.

### 8.4 Fieldwork

Fieldwork is any activity carried out by staff and students for the purpose of their teaching or research as a member of the University of Leeds representing the institution off-site. Activities traditionally associated with the term fieldwork include archaeological digs, environmental and biological collection work / surveys, and social surveys, interviews, meetings and conferences off campus in the UK and abroad. Fieldwork does not include Student Placements or Study Abroad.

In appropriate circumstances full-time students for a research degree other than one of the Masters Degrees by Research may undertake a limited amount of research away from the University, either on approved fieldwork or in approved academic institutions or scientific, clinical or industrial locations, whilst remaining under the direction of the University. Permission to spend up to a total of twelve months studying outside the University during the standard period of study will be at the discretion of the Faculty/School; for periods in excess of twelve months a case must be forwarded for consideration by the Graduate Board's Programmes of Study and Audit Group. Approved periods of study away from Leeds are specified in the arrangements for Split-Site PhD programmes.

All students must ensure that they work with their supervisor(s) and the Faculty Health and Safety Manager to ensure that the correct assessments/ approvals are sought prior to going on fieldwork.

For further information on Fieldwork assessment and risk management, please see the [Health and Safety Services website](#)

## 8.5 Close personal relationships

It is the University's policy that when a member of staff becomes involved in a close personal relationship with a student, he or she must declare it to an appropriate senior colleague or to a third party designated by the Director of Human Resources for the purpose, in the expectation that such a declaration will be treated in complete confidence, that there will be no requirement to give details of the nature of the involvement, and that any necessary steps will be taken to facilitate the reorganisation of the member of staff's professional duties.

For the guidance of Schools the Graduate Board has given examples of what might constitute a close personal relationship as partners, spouses and close family relationships such as brothers, sisters cousins or children.

Specifically, in the case of research students:

- no research student will be accepted for study under the supervision of a member of staff with whom a close personal relationship exists;
- in a case where a close personal relationship develops between a research student and his/her supervisor after the commencement of study, the member of staff is required to declare it to his/her Head of School, who is asked to make alternative supervision arrangements after consultation with the Chair of the Graduate Board. Failure to keep the Head of School informed will be regarded as a disciplinary matter. In a case where the Head of School is the supervisor, he/she is required to declare the relationship to the Chair of the Graduate Board who will make alternative supervision arrangements.
- no individual who has a close personal relationship with the student under examination, or with the supervisor of the student under examination, may be appointed as an Examiner.

## 8.6 Disciplinary regulations

The University publishes regulations and codes governing discipline and the procedures to be followed when it is alleged that any student has committed a disciplinary offence. The attention of research students and supervisors is drawn to the disciplinary regulations=:

[General University Disciplinary Regulations](#) which include such offences as failure to observe a provision of any approved code of practice, riotous or disorderly behaviour, wilful or negligent damage of University property or the property of others on or off University premises and harassment or other inappropriate behaviour towards staff or students including through e-mail, telephone, writing or orally.

[University Computer Systems \(UCS\) Disciplinary Regulations](#), which cover such offences as theft, fraud, accessing paedophilic, pornographic or obscene material, sending of material which is designed or likely to cause offence, annoyance, inconvenience or needless anxiety to another, the creation or transmission of defamatory material or material that is libellous of any persons or company's reputation, products or services and deliberately corrupting or destroying other users' data or disrupting the work of other users.

[University Residences Disciplinary Regulations](#) which apply to the offences listed in the General University Disciplinary Regulations where such an offence is committed by a student who is a resident in a University Residence and occurs in any Residence.

**All research students must be aware of and abide by the University's disciplinary regulations and codes of conduct and be aware of the right of the University to suspend or exclude students on disciplinary grounds.**

## 8.7 Appeals against the results of University examinations and assessments

An appeal can be defined as a request for a review of an adverse academic decision of an academic body charged with decisions on student progression, assessment and awards.

There is an appeals procedure for use by research students who wish to appeal against an adverse academic decision. This is set out in the *Procedure Governing the Consideration of Appeals submitted by Postgraduate Research Students against the results of University examinations and assessments*.

The deadline for receipt of appeals from research students is 20 working days from the date they were informed in writing of the decision of the relevant group of the Graduate Board.

Some research degree programmes contain some required taught elements. In these cases research students may appeal against marks awarded for taught pieces of work by submitting an appeal using the taught student appeals procedure.

For candidates submitting for examination from 01 September 2013 the final examiners' report will automatically be sent to the student and the supervisor after approval by Examinations Group.

A student contemplating an appeal against the outcome of a final research degree examination may request a copy of the Examiners' Preliminary Reports.

Please be aware that students may at any time exercise their right, under the University's *Code of Practice on Data Protection*, to access personal data that is being kept about them (either on computer or in 'relevant' manual files) by completing the University's Subject Access Request form.

## 8.8 Student complaints

Supervisors should be aware that the University has a separate procedure for considering complaints from registered students against the University or any member of its staff. The [University Complaints Procedure](#) is published on the University website

A complaint is defined as an expression of a specific concern about the provision of a course/module, programme of study, supervision or other related academic service.

# 9 Regulations, codes, policies and procedures for research degrees

This section draws together the key regulations, procedure and policy documents that apply to research students at Leeds. Some of these are specific to research degree students, others apply to both taught and research students, and some apply to research students in their role as staff members and active researchers.

The Policies section of the [Postgraduate Research and Operations website](#) provides direct links to all the documents mentioned below

## 9.1 Formal Regulations and Codes of Practice

- [Code of Practice for Research Degree Candidatures](#)
- [Faculty Protocols for the implementation of the Code of Practice for Research Degree Candidatures](#)
- [Ordinance and Regulations and Programmes of Study for Research Degrees](#)
- [Intellectual Property Rights \(IPR\)](#)

- [Student Contract](#)
- [University General Academic Regulations](#)
- [University Code of Practice on Data Protection](#)
- [Code of Practice for Postgraduate Research Students Engaged in Teaching](#)

## 9.2 Progress and Monitoring

- [Attendance monitoring guidance \(for Research Students\)](#)
- [Suspensions/Extensions of Study - policy](#)
- [Students enrolling on taught modules](#)

## 9.3 Thesis and Examination

- [Format for the Presentation of Theses for Research Degrees](#)
- [Guidance on the Use of Solely or Jointly-Authored Publications within a Thesis Submission](#)
- [Guidelines on eThesis preparation, copyright and publication](#)
- [Submission of a Thesis in a Language other than English](#)
- [Policy for the use of videoconferencing, Skype etc for the oral examination examination](#)

## 9.4 Complaints, Appeals and Disciplinary Matters

- [General University Disciplinary Regulations](#)
- [Student complaints procedure](#)
- [Appeals following an adverse academic decision](#)
- [Procedures for investigating plagiarism in research degree work](#)
- [Cheating, Plagiarism, Fraudulent or Fabricated Coursework, and Malpractice in university examinations and assessments](#) (for those programmes with a taught element)

## 9.5 Engaging in Research

- [National Researcher Development Framework](#)
- [Protocol for investigating and resolving allegations of misconduct in academic research](#)
- [Policy on Safeguarding Data](#)
- [Research Ethics - policy, good practice and advice, ethical review forms, training](#)
- [Research Ethics - training and support from SDDU](#)
- [Code of Practice on Data Protection](#)
- [Policy on Publication](#)
- [Proof Reading Policy](#)

## 9.6 Staff undertaking PhDs

- [Part-time research degrees for Leeds staff](#)

## 9.7 Other relevant University Codes and Policies

- [Library regulations](#)
- [Conditions for Use of Computer Systems](#)
- [Mobile and Remote Working policy](#)
- [Equality and Diversity Policies](#)
- [Code of Practice on Harassment, Bullying or Victimisation](#)
- [Code of Practice on Whistleblowing](#)
- [Students with Criminal Records: Policy Statement](#)
- [Support and Wellbeing](#)
- [Code of Practice on Student Health and Conduct](#)

## Annex I

### University Code of Practice for Research Degree Candidatures

(with effect from session 2015/16)

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 research students 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 candidates will already have significant skills and research experience. This Code sets out a framework of shared responsibilities between the University, supervisors and candidates with the aim of delivering successful research degree programmes according to national and international expectations and to inspire all our research students to develop their full potential.

This Code of Practice also outlines for research degree candidates 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 research students and academic staff.

#### 2. Management Structure

- 2.1
  - The Dean of Postgraduate Research Studies maintains strategic oversight of the Postgraduate Research student 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 students.
  -
- 2.2
  - It is essential that each Faculty should have in place an adequate management structure for handling postgraduate 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 research students (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.

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### 3. Admission

3. 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 note 4). 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.
3. 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. 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 students 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).



3. Formal offers of admission, which will include any conditions to be met prior to entry, can only  
4 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 student 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. It is the responsibility of the Dean of the Faculty, the Faculty Director of Postgraduate Research  
1 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. Supervisors will be provisionally appointed at the time that a student receives a formal offer of  
2 admission by the University, and this will be confirmed or, where appropriate, alternative arrangements made when the student registers. Where only one supervisor is appointed for a student 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).

4. The responsibilities of a supervisor may be summarised as follows:

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- (i) ensuring that the student 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 student 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 student 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 student 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 students that the University attaches great importance to the timely completion of research;
- (vi) conducting, with the student, 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 students 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 student through the relevant programme of courses;
- (ix) seeking to ensure that the student receives available research training (e.g. by attendance at courses) which may be necessary or appropriate in the individual case;
- (x) making students aware of any relevant Research Governance requirements and ethical procedures and ethical review;
- (xi) making students aware of the University's [Information Protection Policy](#);
- (xii) agreeing a supervisory programme with the student and arranging regular meetings with the student (see 4.8 below);
- (xiii) ensuring that, where appropriate, the student 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 student's progress (see 6.1 below);
- (xv) Ensuring, in partnership with the student, that there are written records of formal supervisory meetings on the [Postgraduate Development Record](#) (PDR);
- (xvi) commenting within a reasonable time on written work submitted by the student;

- (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 student;
- (xix) reporting to the Postgraduate Research Tutor any suspected instance of research misconduct including plagiarism;
- (xx) ensuring that the student receives written feedback on the assessment of progress, and to draw to the attention of the student 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 student'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 student in reasonable time. It is essential that a timetable for submission of the draft thesis is agreed with the student in advance of the maximum time limit which allows the supervisor a reasonable length of time to carry out this duty and for the student 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 student is aware of the University [arrangements](#) for the examination of research degree theses; and the time limits for submission and ensuring that the student 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 research student or when there has been a pattern of absences which is affecting the student's progress or causing concern for the student's well-being in accordance with the University's [attendance monitoring policy](#) .

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. Where the supervisor is likely to be absent from the University for an extended period, the Head  
5 of School ([see note 8](#)) should ensure that some appropriate arrangements are made for advising  
the student and that the progress of a research student 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. Students have responsibilities as follows:

6

- (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;
- (v) 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;
- (vi) to comply with normal working arrangements in the School;
- (vii) 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;
- (viii) to comply with Health and Safety requirements;
- (ix) to comply with any [ethical requirements](#) or appropriate Research Governance;
- (x) to comply with the University's [Information Protection Policy](#);

- (xi) to take measures to attend appropriate training courses, personal development programmes and research seminars in consultation with their supervisor;
- (xii) to be familiar with the [regulations](#) and [procedures](#) of the University relevant to research degree candidatures and to comply with them;
- (xiii) to ensure that they complete registration and make payment of fees at the appropriate times;
- (xiv) to make use of relevant facilities provided by the University and abide by the regulations specified for the use of these facilities;
- (xv) to assist the University in keeping their personal record up to date by cooperating fully with administrative procedures;
- (xvi) 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);
- (xvii) 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 student/supervisor relationship;
- (xviii) 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 student for more than five working days);
- (xix) to make available to the supervisor for comment, within an agreed timescale, the whole of the draft thesis prior to submission;
- (xx) 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.

4. Students are encouraged to keep Personal Development Plans.

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4. The requirement is that a full-time research student will have a minimum of 10 supervision

- 8 meetings (see note 12) a year. The relevant number for part-time students is 5 a year. However, the pattern and timing of meetings will vary according to the precise stage of the candidature and between subject areas. 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. In order to keep the research on course for submission before the maximum time limit, it is  
9 expected that supervisory contact will continue during any overtime period after the end of the standard period of study. Full-time students will continue to be entitled to a minimum of 10 supervision meetings a year (and part-time candidates a minimum of 5 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 student 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 candidate to initiate these meetings and to provide the supervisor(s) with written drafts of the thesis for comment by the supervisor within an agreed timescale.

## 5. Supervisory Support

5. There are 2 main models of supervision :

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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 student every 6 months to review progress and to discuss this with the student.

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.

5. Whatever model of supervision is adopted there should be a procedure in place for offering  
2 postgraduate research students 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 13) to review progress, discuss this with the student and to enable the student 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 students to seek independent sources of advice when a student/supervisor relationship is not working well.

5. Regular reports should be made by the supervisor and by the appropriate supervisory support team on the student's progress as required in the Code of Practice.

#### 6. Formal assessment and monitoring

6. There should be regular written reports by the supervisor on the student's progress. As a minimum, there should be a report at the mid-point of the first year of the candidature (see note 14), 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 student should be given clear information in writing on the assessment of progress. Where progress is deemed to be unsatisfactory, the student should be interviewed by the Postgraduate Research Tutor and the supervisor and specific instructions and objectives given. The student should be advised that failure to meet those requirements may lead to a recommendation for the termination of the candidature.

6. Research candidatures which are intended to lead to a Doctoral award are subject to a process whereby the student 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 student 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. Students 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 student. 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 student. 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 student 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 student 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 candidate withdraw from a research degree candidature.
6. The decision on transfer must be recorded in writing, agreed by all the members of the  
3 assessment Panel and signed by either the Chair or the independent assessor, and will contain a  
brief assessment of the student's progress. In all cases the student must receive a copy of the  
decision made by the assessment Panel in writing.
6. The Faculty Director of Postgraduate Research Studies or Head of the School, as appropriate  
4 (see note 8): (i) should keep a comprehensive record of the student'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 student'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. The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see  
5 note 8) are strongly encouraged to make provision for research students to present their work  
regularly at seminars involving staff and other research students.
7. **Student Representation, Feedback and Channels of Communication and Complaints** (see also  
5.2 above)
7. The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see  
1 note 8) should ensure that postgraduate research students, 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. Student  
representatives will not be involved in the consideration of matters relating to individual  
student cases.
7. Students should make use of the University [Complaints Procedure](#) (which is published on the  
2 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. The University has in place a [procedure](#) governing the consideration of postgraduate research student appeals (which is published on the University website).

7. The University regularly surveys students about their experience and satisfaction with arrangements and facilities for research degrees and all research students are invited to participate.

#### **8. Minimum standards of facilities provision for full-time students**

As a general principle, the Graduate Board has specified that access to facilities such as printing, photocopying and common room facilities for research students 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 student (see 3 above).

Faculties and Schools should provide the following for all full-time research students 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

Similar facilities should be made available for those studying under split site arrangements whilst they are resident in Leeds and for part-time students, 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 research students
- To ensure that there are appropriate procedures in place in the Faculty to consider appeals by research students as set out in the procedures governing postgraduate research students which is published on the University website
- 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 students is maintained
- To ensure that postgraduate research students 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 student 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 research students. 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 research students 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. However, where applicants do not satisfy the minimum stated requirements for acceptance as a research student the decision may be made by the Postgraduate Research Tutor, acting alone.
5. The University's minimum English language entry requirements for admission of research students 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 students 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 students who have been classed as suitable for admission but who would benefit from further tuition in English.
7. Bench fees represent the student's contribution towards specific school costs generated by the student's research. It is important that the nature of these fees should be conveyed to the student 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 research students 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 students 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. 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.
14. In the case of part-time candidates the equivalent point will be after nine months.

PGRO/ST, Ext 35778, 20/07/2015



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