

# Postgraduate Research and Operations

## Guidance for Developing Joint and Dual PhD Awards (2017-18)

- Section A** Joint and Dual PhD Awards with the University of Leeds
- Section B** Checklists: what is required for a Dual PhD; Joint PhD; Areas to consider when designing this new award; what needs to be covered for a Dual or a Joint PhD for the Part 5 form for approval.
- Section C** The Approvals Process: Flow Chart and Timescale
- Section D** How to access forms – 1, 2, 3, 5 and 6 (**Form 4 applies to Taught provision only**). **Checklist for Part5 approval form** and a comparison checklist with current University of Leeds regulations (2017-18) set down in short format to support the process.

## Section A Developing Joint and Dual Awards with the University of Leeds

Changes made to the University's Ordinances and Regulations<sup>1</sup> makes provision for joint degrees for research awards. This also includes dual awards.

In the case of **Joint Awards** this will indicate a collaboration with another degree awarding institution where both institutions will provide specialist teaching/supervision during the course of the award and a single set of regulations will be devised, agreed and approved by both institutions for this particular degree. (Graduate Board and Senate in the case of the University of Leeds) On successful completion graduating students will receive a single qualification and will receive a single certificate that is awarded jointly by both / all participating institutions. For the University of Leeds, a candidate must spend a minimum of 50% of the length of the candidature at Leeds if they are to be awarded a Leeds degree. If two collaborative partners are involved then there should be a minimum of 12 months spent at Leeds. The Thesis must be written in English and the examination of the thesis by Viva with an external examiner present.

In the case of **Dual Awards** this will indicate a collaboration with another degree awarding institution where both institutions will provide specialist teaching/supervision during the course of the award. The regulations for each institution will apply which requires a candidate to successfully complete all the required progression milestones for both institutions. For the University of Leeds, a candidate must spend a minimum of 50% of the length of the candidature at Leeds if they are to be awarded a Leeds degree. The Thesis must be written in English and the examination of the thesis by Viva as set down in the regulations. The order in which the thesis examination occurs will form part of a discussion with the collaborative partner and will be set down in the collaborative agreement.

The QAA Quality Code sets down a series of expectations that UK universities are required to meet for all aspects of provision. Section B10 of the QAA Quality Code has collaborative provision as its focus and sets out the following Expectation as to how an institution should manage its collaborative activity including PGR research joint and dual awards:

**Degree-awarding bodies take ultimate responsibility for academic standards and the quality of learning opportunities, irrespective of where these are delivered or who provides them. Arrangements for delivering learning opportunities with organisations other than the degree-awarding body are implemented securely and managed effectively.**

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<sup>1</sup> Within Ordinance X paragraph 3

## What should you be looking for in the first instance?

It is a requirement of the University that the proposal for the joint or a dual degree sets down the respective responsibilities of each partner and that these are formally recorded in the signed **Collaborative Agreement**.

The Ordinances and Regulations of the University of Leeds allow for the award of Joint and Dual Degrees and the legal capacity of a partner organisation to award joint and dual degrees is explored as part of the due diligence process. This is a requirement of any collaborative proposal including Joint or Dual Awards. The following questions will be asked as a precursor to any further discussion:

- a. Does the institution you seek to collaborate with have the legal and regulatory capacity to award its own degrees?
- b. Do the ordinances and regulations of that institution also allow it to award a joint or a Dual award?
- c. Can the proposed award type be accommodated in the current University of Leeds regulations ?  
ie Prof Doctorate award type already approved.

If the answer is 'no' in the case of:

- (a) & (b) :- this will prevent further development of the proposal until this has been resolved.
- (c) :- a regulation change will be requested of Graduate Board and Senate – this will be undertaken as a parallel process alongside the approval of the collaborative proposal.

## Areas for discussion with the partner organisation

In the context of joint or dual degrees this presents an additional set of requirements. All arrangements that are part of the candidature must be discussed and agreed so that the arrangements and responsibilities of each partner throughout the length of each student candidature are clearly defined and formally agreed. These arrangements cover such areas as:

- publicity;
- marketing;
- recruitment;
- selection and admissions;
- induction;
- training;
- supervision;
- monitoring progress;
- examination;
- management of student records;
- quality assurance.



## Section B: Checklists : What is required for a Joint PhD or for a Dual PhD

	Dual Award	Joint Award
This programme is classified as a Collaborative Award	✓	✓
Outline Planning Approval required	✓	✓
Collaborative Agreement required for full approval	✓	✓
Independent site visit required for full approval	✓	✓
Due Diligence Required for full approval	✓	✓
Business Plan Required for approval	✓	✓
Risk Assessment Management Plan required for approval	✓	✓
Supervisor from Leeds must be a member of the supervisory team along with a supervisor from the partner institution	✓	✓
Specified time required for the PGR to be in attendance at Leeds (50% of the candidature to be spent at Leeds; 12 months spent at Leeds if two or more partners involved)	✓	✓
Registered at Leeds for the entirety of the award	✓	✓
Registered at the partner HEI for the entirety of the award	✓	✓
If the partner institution's PhD includes taught components, most commonly this would be in year 1, these should be taken and completed before attendance at Leeds ( progression requirement for Leeds). This may have an impact on the sequence of residence at each institution.	✓	
The award follows the standard Leeds rules and regulations for the award of PhD (Note examinations requirements below)	✓	
The award has its own set of regulations, designed and approved by both institutions in advance of the start of the programme (for Leeds, by Graduate Board and Senate)		✓
Progression Milestones including Transfer agreed specifically for this programme (meeting Leeds requirements as closely as possible) and included in a new set of regulations for the PhD		✓
Supervisions are documented in GRAD along with Training Plan and Progression Milestones	✓	✓
Leeds standard progression milestones to be met	✓	
Thesis Submission and Viva requirements must meet Leeds regulations for PhD	✓	
Thesis submission and viva to be in the English Language	✓	✓
Thesis Submission and Viva requirements approved by Examinations Group specifically for this particular award	✓	✓
Consideration of the proposal by the Graduate School Committee	✓	✓
Consideration of the proposal by PSAG and Graduate Board	✓	✓
Consideration of the proposal by the Collaborations and Partnerships Committee	✓	✓
Regulations for the award of PhD of the partner institution required for development of the new award	✓	✓
Comparison of partner's research degree regulation to be undertaken to ensure compatibility of timing of progression milestones and determine when attendance is logically determined at each institution etc	✓	
Comparison of both sets of regulations to determine a single set of regulations to be agreed by both institutions for this PhD award and to determine when attendance is required at each institution		✓

## Checklist to support completion of the Part 1 Form : Outline Planning Approval

Areas to consider when completing Part 1 for Outline Planning Approval	Dual Award	Joint Award
Rationale for the arrangement: how it fits with the Faculty's strategic objectives	✓	✓
Discussed at Graduate School Committee	✓	✓
Support of faculty executive	✓	✓
Estimated number of PGRs planned for this arrangement known	✓	✓
Funding for this programme Eg. Self-funded PGRs; scholarships; external funding; research council funded; Horizon 2020	✓	✓
Business Plan for this proposal (Input from both faculty marketing (marketing plan) and faculty finance (business case) as for this proposal.)	✓	✓
Any resource requirements for this award?	✓	✓

## Checklist to support the drawing together of information for Part 5 approval form (see also Section D below)

These particular pages present an aide memoire to help you to scope the range of areas that will have to be discussed and then agreed as part of the approval process. The Proformas that will formally record this are lodged in Parts 1 and 5 which use the headings listed below.

	Dual	Joint
Programme Length	✓	✓
Information for prospective PGRs	✓	✓
Admissions requirements	✓	✓
Admissions Process	✓	✓
Registration (ie annual)	✓	✓
Appointment of Supervisors and supervisory arrangements for the PGR	✓	✓
Induction, Support and Training for the student	✓	✓
Requirements for a Training Plan and timing	✓	✓
Ethical Approval	✓	✓
Frequency of Supervisory meetings	✓	✓
Any requirements relating to taught content (courses or modules) that must be taken / passed in a specific year	✓	✓
Arrangements for monitoring progression (what are the key milestones)	✓	✓
English Language requirements	✓	✓
Transfer process (when this takes place in the candidature and the procedure)	✓	✓
Any written examination requirements at the Transfer stage that are necessary for progression	✓	✓
Training for supervisors and internal examiners	✓	✓
Procedures for and regulations covering Suspensions	✓	✓
Procedures for and regulations covering Extensions	✓	✓
Research Environment (study space; library access; VLE; specialist equipment etc)	✓	✓
Criteria for examination of the award (submission of thesis, viva examination)	✓	✓
If external bodies involved - any requirements or involvement of the final examination (thesis submission or viva)	✓	✓
Composition of the examination panel	✓	✓
Language of Thesis Submission	✓	✓
Examination (Viva) or Public Defence	✓	✓
Electronic submission of thesis	✓	✓
Student Academic Appeals and Complaints	✓	✓
Intellectual Property	✓	✓



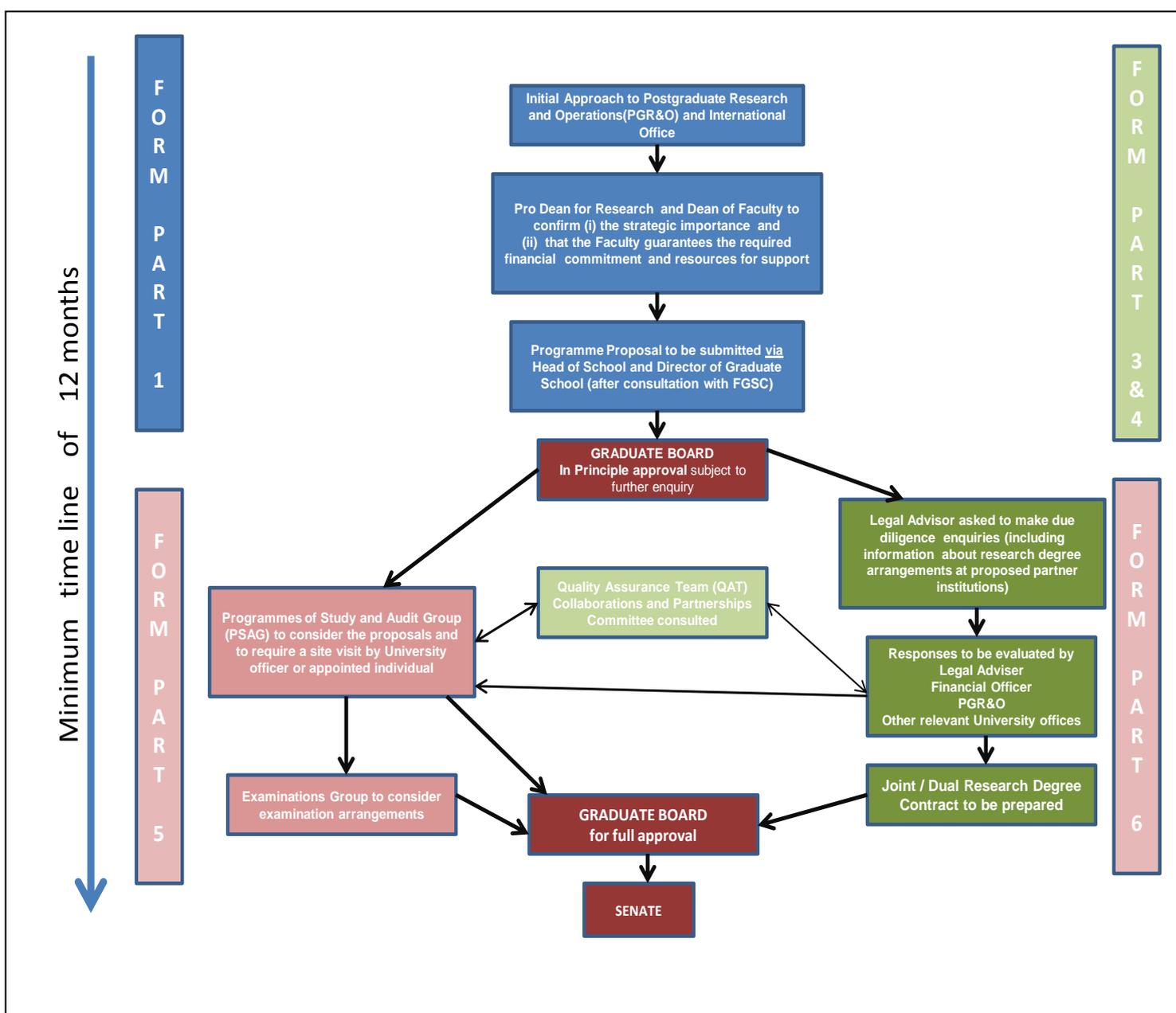
## Section C : The Approval Process

The following sets down the approvals process for any School wishing to develop and introduce a **Joint PhD or Dual PhD award** with another higher education institution.

In developing a proposal for a Joint or a Dual Award, the School should ensure that it meets the requirements of the **COLLABORATIVE** process for introducing such an award. The approval of any joint award can be more time consuming than developing a programme to be offered solely on campus at Leeds and this should be accommodated in the timeline you are seeking for the introduction of the award.

Schools should allow at least **12 months** in their planning process for the development and approval of the award. The process for approval is set down below and indicates the different offices that a school should consult with and who can offer advice and support in developing your proposal.

### Procedure for a new Joint PhD or Dual award PhD



## Section D : The Forms to be used for approval and a template for comparison of Leeds regulations with partner institution

### Forms to be completed as part of the Approvals Process

Form	Title	Complete for a Research Award?	Submit completed paper to
Part 1	Outline Planning Approval	✓	PGR&O (for consideration by Graduate Board) QAT (for consideration by Collaborations and Partnerships Committee)
Part 2	Articulation Approval	Only if the agreement requires this	PGR&O (for consideration by Graduate Board)
Part 3	Financial and Legal Framework	✓	Legal Advisor
Part 4	Academic Management	x	Not applicable for research awards
Part 5	Research Award Quality Assurance	✓	PGR&O (for consideration by PSAG)
Part 6	Independent Site Visit	✓	PGR&O (for consideration by PSAG) Legal Advisor

All forms can be downloaded from the SES Staff web site using the following link:

[http://ses.leeds.ac.uk/info/21010/programme\\_and\\_module\\_approval/594/collaborative\\_programme\\_approval](http://ses.leeds.ac.uk/info/21010/programme_and_module_approval/594/collaborative_programme_approval)

**Checklist of current University of Leeds regulatory requirements (as of 2017-18) as a starting point for comparison with partner institution for Part 5.**

As a joint award both institutions will be providing specialist training, facilities and supervision for Postgraduate Researchers registered for the award. There is an expectation that proposals for joint or dual awards should adhere as closely as possible to normal regulatory and quality assurance framework for the University of Leeds, differing only where it is necessary to accommodate academic requirements of the partnership. It is important therefore that the quality assurance arrangements are clearly defined and agreed before postgraduate researchers commence the programme and the details should be set down as part of the approvals process. Any such differences must be made explicit in the approvals process and referred to specifically in the Part 5 proforma.

	<b>University of Leeds</b>	<b>Collaborative Institution</b>
<b>Award Title</b>	For example: PhD Or Integrated degree of PhD and Master Or Professional Doctorate	
<b>Length of study</b>	3 year full time (fees payable) 1 year overtime (an overtime fee which denotes that all research has been completed leaving only the writing up phase prior to submission)	
<b>Admissions criteria</b>  <b>Including IELTS</b>	Normally at least a first or second (II i) class Honours degree of Bachelor in an appropriate discipline or equivalent.  English Language entry requirements for admission of postgraduate researchers whose first language is not English as required by the Faculty. This normally is an IELTS band score.	
<b>Admissions Process</b>	Written application and interview (in person or via phone or videophone). At least two members of staff are involved in the consideration of each application.	
<b>Registration and proposed attendance arrangements at each institution</b>	PGRs are required to register at the start of their studies.  PGRs re-register on the anniversary of their start date. This is subject to satisfactory progress as signed off by the Postgraduate Research Tutor.  Registration enables PGRs to receive supervision, register with the Library, and other services. Payment of fees is part of this process.	
<b>Appointment of supervisors</b>	Supervisory team must meet criteria specified by the University and have undertaken appropriate University training.  Head of School or his/her delegate is responsible for recommending the appointment of supervisors to the appropriate University committee for approval.	

<b>Supervisory Arrangements</b>	PGRs have a minimum of 10 formal supervision meetings a year. A written record of the meetings must be kept in GRAD.	
<b>Induction &amp; Training</b>	<p>Supervisor conducts a Training Needs Analysis with the PGR and a Training Plan is agreed <b>within one month</b> of commencing study in accordance with the individual needs of PGRs. This is completed in GRAD</p> <p>The Training plan is reviewed annually</p>	
<b>Ethical Approvals</b>	<p>Ethical aspects of PGR's research proposal discussed as part the research design and management process with the supervisor.</p> <p>Consideration of ethical issues must take place prior to admission. Ethical approval is checked at Transfer and at Examination Entry stage.</p>	
<b>Progression</b>	<p>Governed by the <b>University Code of Practice on Research Degree Candidatures</b> and completed in GRAD</p> <p>Year 1: A First Formal Progress meeting must take place by month 6 of the first year.</p> <p>Year 1: Transfer examination by the end of first year ( no later than month 12 after the start of the candidature for full time study).</p> <p>Year 2 (&amp;3 if thesis not submitted by that stage) : Annual Progress Review meeting must take place on or before the anniversary of the start date until submission of the thesis (Model A or Model may be chosen depending on the approved faculty protocol).</p>	
<b>Transfer</b>	<p>All PGRs must undergo a transfer interview and this should take the form of a viva voce examination.</p> <p>The decision is taken by a Transfer Assessment Panel of at least two individuals and include at least one person who has not been involved in the supervision (independent) of the candidature.</p> <p>The Transfer process must have taken place by the end of the first year of full time study (and no later than 12 months after the start of the candidature).</p> <p>The Transfer Panel has access to the following information: PGR's Transfer Report, PGR's Training Plan, Planned schedule for completion of thesis, reports of pgr's progress from the supervisor</p>	

<b>Training for Supervisors / Internal Examiners</b>	<p>Supervisory team must meet criteria specified by the University and have undertaken appropriate University training.</p> <p>Head of School or his/her delegate is responsible for recommending the appointment of supervisors to the appropriate University committee for approval.</p>	
<b>Suspensions &amp; Extensions</b>	<p>PGRs will not normally be granted periods of suspension or extension equivalent to more than 2 calendar years for a full time candidate. A period of suspension of registration is not included in the standard or maximum period of study.</p> <p>Approval is required from the appropriate University committee.</p>	
<b>Research Environment</b>	<p>Matters related to the appropriate resources for the conduct of the research (equipment, library collections, computing facilities and software) must be considered prior to the acceptance of the PGR.</p>	
<b>Criteria for Examination of the award</b>	<p>Examiners receive written instructions on the relevant examination procedures together with the criteria which must be met for the award of the degree of PhD.</p> <ul style="list-style-type: none"> <li>- Original research</li> <li>- Independent critical ability</li> <li>- Publishable</li> <li>- Meets the published learning outcomes</li> </ul>	
<b>Composition of examination panel</b>	<p>Eligibility criteria for the appointment of Examiners.</p> <p>Minimum of two examiners appointed for each candidate with at least one Examiner being external to the institution.</p> <p>No member of staff who has been substantially involved in the research may serve as the Internal Examiner.</p> <p>The thesis must be written in English and the examination will include an oral exam conducted in the English language as prescribed in the regulations.</p> <p>If an alternative thesis submission format has been agreed please state this here.</p>	