Faculty of Arts, Humanities and Cultures (AHC)

The Faculty Protocol for the implementation of the University's Code of Practice for Research Degree Candidatures with effect from 2017/18

*Note to Readers:  This document sets out the University's Code of Practice for Research Degree Candidatures which is relevant to all University Faculties.  Where arrangements for the implementation of the Code, specific to the Faculty of AHC, are described in more detail these are shown in shaded boxes.*

Within this Code, Deans may delegate some of their responsibilities to the Faculty Director of Postgraduate Research Studies, to Heads of Schools and / or Postgraduate Research Tutors within the Faculty.

| 1. | General |
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| | Postgraduate researchers (PGRs) are an essential part of the research activity at Leeds.  Most candidates are early career researchers who will receive relevant research and generic training to enable them to enter a variety of fields upon completion of their degrees.  However, the University also recognises that some PGRs will already have significant skills and research experience.  This Code sets out a framework of shared responsibilities between the University, supervisors and PGRs with the aim of delivering successful research degree programmes according to national and international expectations and to inspire all our PGRs to develop their full potential. |
| | This Code of Practice also outlines for PGRs the minimum standards they can expect in connection with the supervision of their research degree study at the University of Leeds.  Deans of Faculties are responsible for the provision of the resources to implement the University Code of Practice.  The University Code will be supplemented by Faculty Protocols covering the practices of individual Faculties.  More detailed information on arrangements may also be available, in some cases, at School level.  Faculties must ensure that both the University Code and Faculty Protocols for its implementation are made available to PGRs and academic staff. |
| | The Faculty Protocol for the implementation of the University Code of Practice for Research Degree Candidatures is included in School Handbooks which are provided for postgraduate researchers (PGRs) at enrolment for induction purposes, and are electronically available to all other PGRs. The Protocol is also available to view on Schools' PGR pages on Minerva, and is disseminated to Faculty staff/supervisors through the Faculty Graduate School Committee (FGSC) and schools' Postgraduate Research Committees/Research committees.<br><br>The Faculty Director of Postgraduate Research Studies (DPGRS) is responsible for ensuring that the Faculty Protocol is updated and readily available. The Protocol is annually reviewed by the Faculty's Graduate School Committee. |
| 2. | Management Structure |
| 2.1 | The Dean of Postgraduate Research Studies maintains strategic oversight of the PGR experience and works through the Graduate Board to develop policies that maintain and assure the academic standards of research degree awards and enhance the experience of PGRs. |

| 2.2 | It is essential that each Faculty should have in place an adequate management structure for handling PGR matters. Each Faculty has a Graduate School Committee and the Faculty Deans may allocate responsibilities via the Faculty Graduate School Committee and the Faculty Director of Postgraduate Research Studies to Schools or to other appropriate units within the Faculty (see note 1). There should be at least one Postgraduate Research Tutor  (see note 2)  in each School who (subject to the overall responsibility of the Faculty Director of Postgraduate Research Studies and the Head of the School) has general responsibility for co-ordinating admission, pastoral care, recording and monitoring of progress and attendance of PGRs (with absence being reported) and for liaison with Postgraduate Research and Operations. In some cases, the Postgraduate Research Tutor may report to a School Postgraduate Research Committee  or other formal body within the School as well as the Faculty Graduate School Committee.  There must always, however, be a clear and effective method for report and discussion of individual matters and matters of policy (see note 3) which must be described in the relevant Faculty Protocol for the implementation of the University Code of Practice for research degree candidatures. |
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|      | An organisational chart of key personnel within the Faculty of AHC who handle postgraduate research degree matters is attached as Annex A.

The Faculty Graduate School oversees postgraduate research procedures across the Faculty. The Director coordinates the PGR policy across the Faculty; chairs the Faculty Graduate School Committee; represents strategic PGR matters at Faculty Executive Committee; co-chairs alongside the Pro Dean for Student Education (or their Deputy) the Faculty Group for PGRs engaged with teaching; and represents the Faculty at Graduate Board.The FGSC takes responsibility for ensuring the quality of PGR training and of the supervision of PGRs and also includes members representing the Centre for Practice-led Research in Arts (CePRA) and Organisational and Professional Learning (OD&PL).

Within each of the nine Schools, and subject to the overall responsibility of each Head of School, a Postgraduate Research Tutor is recommended by the FGSC to Graduate Board. As well as reporting to their Head of School each PGRT also reports to, or Chairs, their School Postgraduate Research Committee or School Research Committee. School Postgraduate Research Committees meet at least once each term or as necessary to consider policy and/or admissions.

Issues relating to the progress of individual PGRs will be considered by the PGRT, in consultation with other staff (e.g. supervisor and DPGRS). Each PGRT also reports to the FGSC and the Faculty has representation through PGRTs on the groups of Graduate Board. PGR Representatives sit on the Faculty Graduate School Committee, with all Schools having representation from their PGRs on this committee.

Each Head of School recommends the appointment of a Postgraduate Research Tutor (PGRT) to the Faculty Graduate School Committee. In addition, Schools may if they wish also recommend the appointment of a Deputy Postgraduate Research Tutor.  The PGRT will, as a minimum, take responsibility for co-ordinating admission, pastoral care, and recording progress of PGRs (including the monitoring of attendance with absence being reported).  PGRTs will liaise directly with Postgraduate Research and Operations (PGRO) and other relevant offices on all matters relating to the management of research degrees.

The Faculty Graduate School administration is overseen by the Graduate School Manager and comes under the management of the Faculty's Student Education Service, led by the Faculty Education Service Manager. |

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| **3.** | **Admission** |
| 3.1 | The minimum requirements for entry to research degree study are stated on the University web site as well as in the Ordinance and Regulations for research degrees.  Applications for admission to postgraduate research will be considered under arrangements specified by the Faculty Graduate School Committee.  The consideration of applications will normally be undertaken by the Postgraduate Research Tutor and potential supervisor.  An acknowledgement should be sent on receipt of an application and the Postgraduate Research Tutor should ensure that the application is considered expeditiously. At least two members of staff will be involved in the consideration of each application which meets the minimum entry requirements (see notes 4 (a) and (b)).  Where practicable, an interview should take place for those applicants for whom an offer of admission is under consideration. The suitability and qualifications of all applicants should be carefully considered in the light of the entry requirements for the particular degree programme and other requirements of the University (eg English language requirements). Appropriate expertise for supervision and adequate resources must be available (e.g. equipment, library collections, and computing facilities and software) for the proper conduct of the research and applicants should be accepted only where appropriate expertise for supervision and adequate resources are available.  Arrangements must be in place to consider any potential ethical issues. |
| | Applications for admission to postgraduate research degree study are received by the School of intended study. Documentation required includes the University application form, transcripts, research proposals, references; further documentation requirements vary, in some schools for example a sample piece of writing or a curriculum vitae may be required.<br><br>Applications will be considered by the Postgraduate Research Tutor and potential supervisor(s). An interview will take place initiated by the PGRT or potential supervisors and either phone or skype can be used to assist the interview process.<br><br>The application process will be administered by the Graduate School who will liaise with the candidate regarding their application.<br><br>Further details of the arrangements for considering applications in each School are described on the School website and on the Faculty Graduate School website. |
| 3.2 | Accreditation for Prior Learning (APL) will be considered in respect of the taught components of a research degree programme only.  Applications will normally be made at the time of admission and considered by the relevant Faculty/School in accordance with the procedure set out in the programme of study specification .  Graduate Board will be advised of any decisions taken.   APL is not permitted, in any circumstances, against the research thesis or thesis preparation components. |
| 3.3 | Where the applicant's first language is not English, steps should be taken to ensure (for example from the results of tests taken by the applicant) that he or she has a sufficient grasp of the language to embark on the research, bearing in mind the demands of the discipline and the University's Regulations (see note 5). Where PGRs have satisfied the English language requirements, but further English language training needs are identified after admission, it should be ensured that appropriate arrangements are made (see note 6) and these are included in the training needs analysis and training plan (see 4.3 (vi) and 4.6(i) below. |

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| | All Schools in the Faculty of AHC require a level of English language ability above the minimum requirements set by the University:<br><br>IELTS overall score of 6.5 with at least 6.0* in all components (with the exception of FAHACS where a score of 7.0 is required for the writing component)<br><br>TOEFL (internet-based) overall score of at least 92 with at least 21 in listening, 21 in reading, 23 in speaking and 22 in writing. |
| 3.4 | Formal offers of admission, which will include any conditions to be met prior to entry, can only be made by Postgraduate Research and Operations acting on behalf of the University's Graduate Board. Postgraduate Research Tutors should make clear recommendations on matters such as the need for preliminary or additional courses and the charging of bench fees so that these can be specified in the offer and brought to the attention of the PGR and sponsors where relevant (see note 7). A summary of the University Code of Practice on Research Degree Candidatures will be drawn to the attention of candidates with their offer of admission. |
| **4.** | **Supervision** |
| 4.1 | It is the responsibility of the Dean of the Faculty, the Faculty Director of Postgraduate Research Studies or the Head of the School (see note 8) to recommend suitable supervisors for appointment by the Graduate Board (see note 9). Where co-supervisors are appointed, one is to be identified as the main supervisor. The Graduate Board requires members of staff to attend a course on research degree supervision organised by the University before being recommended for appointment as a supervisor. |
| 4.2 | Supervisors will be provisionally appointed at the time that a PGR receives a formal offer of admission by the University, and this will be confirmed or, where appropriate, alternative arrangements made when the PGR registers. Where only one supervisor is appointed for a PGR an Advisor will also be appointed by the Head of School (see note 8). It is normally the responsibility of the Head of the School to ensure that no supervisor is overloaded with supervisory responsibilities and the position of individual members of staff should be reviewed regularly. Where this responsibility rests elsewhere, the position must be clearly explained in the Faculty Protocol (see note 10). |
| | Within all Schools of the Faculty of AHC, responsibility for ensuring that no supervisor is overloaded with supervisory responsibilities rests with the Head of School and the Director of Postgraduate Studies. |
| 4.3 | The responsibilities of a supervisor may be summarised as follows: |
| | (i) ensuring that the PGR is introduced to the facilities of the Faculty or School and the University that are relevant to the research and that he or she is fully aware of relevant Health and Safety regulations (see note 11); |
| | (ii) assisting the PGR in defining the topic which is to be tackled in the course of the research. It is vital that this should give sufficient scope for investigation appropriate to the degree, but not be so large a topic that it cannot be mastered within the normal period of the candidature. Where the research is sponsored by an outside body, the terms of such sponsorship must be carefully considered; |

| | (iii) | assisting the PGR to clarify the research question which the study seeks to address, and to establish details of the research programme, such as resources required and, where appropriate, the experimental design; |
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| | (iv) | ensuring, in consultation with the Head of School (see note 8), that the PGR has access to the necessary facilities for the research; |
| | (v) | approving a timetable of work and endeavouring to see that it is followed. Supervisors should emphasise to PGRs that the University attaches great importance to the timely completion of research; |
| | (vi) | conducting, with the PGR, a training needs analysis within one month of commencement of study and agreeing a training plan; |
| | (vii) | reviewing the training plan regularly (at least annually) and assisting the PGR in identifying other training needs and in reflecting upon their personal development, for instance by reference to the Statement on Learning Outcomes; |
| | (viii) | where the programme contains subject specific modules, directing the PGR through the relevant programme of courses; |
| | (ix) | seeking to ensure that the PGR receives available research training (e.g. by attendance at courses) which may be necessary or appropriate in the individual case; |
| | (x) | making PGRs aware of any relevant Research Governance requirements and ethical procedures and ethical review; |
| | (xi) | making PGRs aware of the University's Policy on Safeguarding Data – Storage, Backup and Encryption ; |
| | (xii) | agreeing a supervisory programme with the PGR and arranging regular meetings with the PGR throughout the programme of study (including the overtime period) (see 4.8 and 4.9 below); |
| | (xiii) | ensuring that, where appropriate, the PGR is aware of the Faculty/School arrangements for reviewing transfer to full degree registration and that appropriate guidance on preparing for transfer is provided; |
| | (xiv) | preparing regular reports on the PGR's progress (see 6.1 below); |
| | (xv) | Ensuring, in partnership with the PGR, that there are written records of formal supervisory meetings on the University's system for maintaining a record of the research degree candidature; |
| | (xvi) | commenting within a reasonable time on written work submitted by the PGR; |
| | (xvii) | otherwise advising generally on the research and preparation of the thesis; |
| | (xviii) | alerting the Postgraduate Research Tutor, in a timely manner, to any situation where it may become necessary to request a suspension or extension of study for a PGR; |

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| | (xix) | reporting to the Postgraduate Research Tutor any suspected instance of research misconduct including plagiarism; |
| | (xx) | ensuring that the PGR receives written feedback on the assessment of progress, and to draw to the attention of the PGR problems when they arise, (where necessary this should be done in writing); |
| | (xxi) | taking action to bring to the attention of the Postgraduate Research Tutor any concerns about a PGR's unsatisfactory progress; |
| | (xxii) | reading and commenting on the whole of the draft thesis prior to submission provided that it is made available by the PGR in reasonable time. It is essential that a timetable for submission of the draft thesis is agreed with the PGR in advance of the maximum time limit which allows the supervisor a reasonable length of time to carry out this duty and for the PGR to act on any comments received. Any planned periods of absence by the supervisor from the University should be taken into account; |
| | (xxiii) | keeping the Head of School informed of any absences likely to impact upon time available for supervisory duties; |
| | (xxiv) | sending forward recommendations for the appointment of Examiners to the Faculty/School Postgraduate Research Tutor; |
| | (xxv) | ensuring that the PGR is aware of the University arrangements for the examination of research degree theses; and the time limits for submission and ensuring that the PGR receives appropriate guidance about the oral examination including, where requested, a "mock viva"; |
| | (xxvi) | reporting to the Faculty/School when there has been no contact with an individual PGR or when there has been a pattern of absences which is affecting the PGR's progress or causing concern for the PGR's well-being in accordance with the University's attendance monitoring policy; |
| | (xxvii) | Ensuring that the PGR is aware of the University Publication and Research Data Management policies and knows that these apply to publications in press at the time the PGR leaves the University. |
| 4.4 | In circumstances where supervisors leave the University they must ensure that, prior to their departure, the Head of School is notified. In this situation, the Head of the School (see note 8) must satisfy himself / herself that alternative and acceptable supervision arrangements are recommended to the Graduate Board. | |
| 4.5 | Where the supervisor is likely to be absent from the University for an extended period, the Head of School (see note 8) should ensure that some appropriate arrangements are made for advising the PGR and that the progress of a PGR is not detrimentally affected by the absence of the supervisor. Where the absence exceeds three months, an alternative supervisor or co-supervisor must be appointed. | |
| 4.6 | PGRs have responsibilities as follows: | |
| | (i) | To reach agreement with the supervisor on an appropriate training plan; |
| | (ii) | to carry out research effectively, to attend the University, to present work regularly and to an adequate standard in an appropriate form and against an agreed timescale taking into account any holiday entitlement; |

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| | (iii) | to prepare issues they wish to discuss at supervision meetings and to seek out the supervisor as problems arise; |
| | (iv) | to agree to a supervisory programme, to maintain regular contact with their supervisor(s) and to attend for formal supervision meetings throughout the programme of study (including the overtime period) (see section 4.8 and 4.9 below); |
| | (v) | ensuring, in partnership with the supervisor, that there are written records of formal supervision meetings on the University's system for maintaining a records of the research degree candidature; |
| | (vi) | to submit, when requested, regular written summaries of overall progress to their supervisors or, where appropriate, Research Support Group, Postgraduate Research Tutor or Head of School; |
| | (vii) | to comply with normal working arrangements in the School; |
| | (viii) | to discuss with their supervisor whether any teaching work undertaken will adversely affect the time available for the conduct of the research and make appropriate arrangements; |
| | (ix) | to comply with Health and Safety requirements; |
| | (x) | to comply with any ethical requirements or appropriate Research Governance; |
| | (xi) | to comply with the University's Policy on Safeguarding Data, Storage, Backup and Encryption; |
| | (xii) | to take measures to attend appropriate training courses, personal development programmes and research seminars in consultation with their supervisor; |
| | (xiii) | to be familiar with the regulations and procedures of the University relevant to research degree candidatures and to comply with them; |
| | (xiv) | to ensure that they complete registration and make payment of fees at the appropriate times; |
| | (xv) | to make use of relevant facilities provided by the University and abide by the regulations specified for the use of these facilities; |
| | (xvi) | to assist the University in keeping their personal record up to date by cooperating fully with administrative procedures; |
| | (xvii) | to promptly draw to the attention of the supervisor or Postgraduate Research Tutor when there is a situation where it may be necessary to request a suspension or extension of study. If appropriate, documentary evidence should be provided (eg medical certificate); |
| | (xviii) | to consult with the Postgraduate Research Tutor or appropriate senior member of staff within the Faculty or School, in confidence, if they have serious concerns about the PGR/supervisor relationship; |

| | (xix) | to discuss with the supervisor, in good time where possible, should they wish to be away from their research activity for a substantial period (eg in the case of a full-time PGR for more than five working days); |
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| | (xx) | to make available to the supervisor for comment, within an agreed timescale, the whole of the draft thesis prior to submission; |
| | (xxi) | To ensure that at all times they observe high standards of academic conduct and integrity and are aware of the consequences of failure to observe the University's requirements. |
| | (xxii) | To comply with the requirements of the University Publication and Research Data Management policies, noting that these will also apply to publications in press at the time the PGR leaves the University and to any associated data. |
| 4.7 | PGRs are encouraged to keep Personal Development Plans. | |
| 4.8 | The requirement is that a full-time PGR will have a minimum of 10 supervision meetings (see note 12) a year. The relevant number for part-time PGRs is 6 a year. Whilst the pattern and timing of meetings will vary according to the precise stage of the candidature and between subject areas it is expected that meetings will be held regularly throughout the standard period of study with gaps between meetings of no more than 8 weeks for full-time PGRs (or 12 weeks for part-time PGRs) (see note 13). Faculty Directors of Postgraduate Research Studies are encouraged to specify the minimum number of meetings required in the relevant areas subject to meeting the minimum requirements specified by the University in this Code. Notes should be kept of all formal supervision meetings. | |
| 4.9 | In order to keep the research on course for submission before the maximum time limit, it is expected that supervisory contact will continue during any overtime period after the end of the standard period of study and that the supervisor will continue to monitor progress. For those in the overtime period the University appreciates that supervision meetings may be in the format of reading and commenting on draft chapters of the thesis prior to submission. Full-time PGRs will continue to be entitled tono less than 10 supervision meetings a year (and part-time candidates no less than 6 a year). The meetings must be recorded and may take place in a variety of forms (for example in face to face meetings when the PGR is in the UK or by other means such as video conferencing, telephone, Voice over Internet Protocol (VoIP) (eg skype) or email where appropriate). It is the responsibility of the PGR to provide the supervisor(s) with written drafts of the thesis for comment by the supervisor within an agreed timescale. | |
| **5.** | **Supervisory Support** | |
| **5.1** | There are 2 main models of supervision : | |
| | Model 1: | Co-supervision<br><br>Either (a) one main supervisor together with a Research Support Group of between 2-3 (which may include individuals from outside the School or external to the University); the Research Support Group is advised to meet with the PGR every 6 months to review progress and to discuss this with the PGR.<br><br>or (b) one main supervisor with a co-supervisor(s) (who may be |

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| | | 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. | |
| 5.2 | Whatever model of supervision is adopted there should be a procedure in place for offering PGRs the opportunity to meet, at least annually, in the absence of the supervisor(s), with the Postgraduate Research Tutor or Head of School (see note 14) to review progress, discuss this with the PGR and to enable the PGR to comment upon the nature of the supervision received and to draw attention to any matters of concern.   Where the Postgraduate Research Tutor/Head of School is the supervisor a nominee should be appointed.  There should be a mechanism in place within the School/Faculty, which is clearly publicised, to enable PGRs to seek independent sources of advice when a PGR/supervisor relationship is not working well. | |
| | All PGRs within the nine schools of the Faculty will be offered the opportunity to meet with their School's Postgraduate Research Tutor or Head of School, in the absence of the supervisor(s), at least annually to review progress, discuss this and enable the PGR to comment upon the nature of the supervision received and to draw attention to any matters of concern. PGRs will be advised of this opportunity at induction and will also receive at least one reminder of this opportunity during the session from the Postgraduate Research Tutor (or the Graduate School acting on behalf of the Postgraduate Research Tutor). This information is also provided in School handbooks. Where the PGRT or Head of School is the supervisor a nominee, normally the Direcor of Postgraduate Research, will be appointed. Schools have responsibility for ensuring that all members of the supervision team are included on each PGR's record on GRAD.  The PGRT should notify Postgraduate Research and Operations if amendments to the supervision team are required. | |
| 5.3 | Regular reports should be made by the supervisor and by the appropriate supervisory support team on the PGR's progress as required in the Code of Practice. | |
| **6.** | **Formal assessment and monitoring** | |
| 6.1 | There should be regular written reports by the supervisor on the PGR's progress. As a minimum, there should be a report at the mid-point of the first year of the candidature (see note 15), at the transfer stage and at least annually thereafter.  In the case of annual reviews the reports may be prepared by an independent assessor in consultation with the supervisor or by the supervisor depending on the practice adopted within the Faculty.  The Reports should include a review of progress on the agreed training plan.  Reports should be considered by the Faculty Graduate School Committee, the Postgraduate Research Committee or other formal body adopted by the Faculty or School. It is essential that the PGR should be given clear information in writing on the assessment of progress. Where progress is deemed to be unsatisfactory, the PGR should be interviewed by the Postgraduate Research Tutor and the supervisor and specific instructions and objectives given. The PGR should be advised that failure to meet those requirements may lead to a recommendation for the termination of the candidature. | |

Within the Faculty of AHC, the nine Schools' supervisor(s) are required to prepare regular written reports on a PGR's progress which, as a minimum, meet the University's requirements for reporting set out above. Notes of formal supervision meetings should also be kept on GRAD.

The regular progress reports and notes of formal supervision meetings must be recorded in GRAD and will be available for consideration by the Postgraduate Research Tutor/Graduate School and PGRO.

The University requires that annual end of year progress monitoring takes place for all PGRs. All full-time and part-time PhD/MPhil candidates and part-time MA by Research candidates will be required to follow this process. Meetings between the PGR and supervisors should take place each year (post transfer stage), before the anniversary of the commencement of study, until submission of the thesis. The process will also involve individuals independent of the supervisors and PGR. The independent oversight will be via a subgroup of FGSC involving the PGRTs.

In advance of the annual end of year progress monitoring meeting with their supervisors, all PGRs are required to submit:
- The PGR section of the annual progress review form;
- A piece of written work by the PGR, the content of which is agreed between the PGR and supervisor (as appropriate to the point the PGR has reached in his/her candidature), which will be used to assess academic progress;
- A plan for completion of the research and the thesis within the remaining period of study (the plan should aim for the thesis to be completed within the standard period of study, and usually take the form of a Gantt chart).

After the Annual Progress Review meeting between the PGR and supervisors, the supervisor(s) will complete the annual progress review form. This is considered by the relevant progress committee within the nine Schools. The committee must include at least one member who is independent of the supervisory team.

Annual Progress Monitoring Reports are considered by the Director of the Graduate School. Summary statistics arising from the reporting process are presented to the Faculty Graduate School Committee along with individual cases (as reserved business) where necessary.

All PGR records relating to progress should be kept on GRAD  including:

- The Training & Development Needs Analysis (TDNA), carried out within 1 month of the start date
- The Training Plan, agreed within 1 month of the start date and reviewed at least annually thereafter
- The First Formal Progress Report (6 months full-time or 9 months part-time), which includes  written reports by the PGR and the supervisorProgress Report Pre-Transfer, which includes a written report by the supervisor
- Transfer assessment report (normally between 9-12 months full-time or 18-24 months part-time), written by the transfer panel (see also section 6.2)
- Annual Progress Review reports (before the anniversary of their commencement of study)
- At least 10 supervision meetings should take place each year for full-time PGRs (6 for part-time PGRs).

Schools ensure that PGRs are clearly informed of any concerns about their progression arising from the reports on progress. Supervisors should ensure that

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| | PGRTs are informed at an early stage when progress is deemed to be unsatisfactory so that action can be taken in line with the University Code of Practice. | |
| 6.2 | Research candidatures which are intended to lead to a Doctoral award are subject to a process whereby the PGR is formally assessed and, if successful in the assessment, is 'transferred' to a specific degree category after an initial, provisional stage. The assessment at the 'transfer' stage is intended to identify whether the individual PGR and the research project have the potential for research at Doctoral level and also whether completion of a thesis within the standard period of study for the programme concerned is a reasonable expectation.  PGRs are required to submit reports within a time scale prescribed by the School/Faculty, which are considered by assessment Panels which must comprise a minimum of two individuals and include at least one independent individual who has not been involved in the supervisory support arrangements for the PGR.  These arrangements, however, do not preclude a member of the supervisory team from serving as a member of the assessment Panel.  At least two members of an assessment Panel (including the independent assessor) should be from the same or from a cognate subject area or discipline to the work submitted by the PGR and at least one member must have previous research degree supervision or examination experience.  The decision on transfer should be based on evidence as prescribed by the Faculty Protocol for the implementation of the Code of Practice.  This must include the agreed training plan, record of training and information about skills development, ethical issues with the research and periodic reports by the supervisor(s).  The PGR must provide a written submission which will include a planned schedule for the work and might also include a synopsis of the work already carried out, a sample chapter and other written or experimental work. The PGR must be interviewed by the assessment Panel and this should take the form of a viva voce examination. It is important that the University's prescribed time-limits for 'transfer' decisions are adhered to.  These time limits are prescribed by the University for each doctoral programme of study and are published in the relevant programme of study specification on the University website.  The decisions that may be made by transfer panels are: | |
| | (i) | in the case of Provisional candidatures for Doctoral degrees or Postgraduate Research candidatures, transfer to Doctoral registration; |
| | (ii) | in the case of Provisional candidatures for the degree of PhD or Postgraduate Research candidatures, transfer to M Phil registration; |
| | (iii) | on the first occasion that the work is assessed, and provided that the University's prescribed time limit allow, deferral of a decision about transfer for a limited period to permit the work to be revised and then reassessed; |
| | (iv) | a decision that the PGR withdraw from a research degree candidature. |
| | Schools in the Faculty of AHC require the submission of the PGR's transfer report by the end of the first year of full-time study or by the end of the second year of part-time study. This will normally mean by end of month 9 for full-time candidates and end of month 18 for part-time candidates.

The composition of a transfer panel will normally be the supervisor(s) (or at least one member of the supervisory team), Postgraduate Research Tutor and one other member of the academic staff, who is independent of the supervisory team, but who has supervisory and research experience in the relevant area. Note that in some Schools supervisors are present at the transfer viva but do not sit on the panel and do not contribute to the decision on transfer. In this case, the transfer panel comprises 2 members of academic staff independent of the supervision team and the | |

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| | PGRT (who acts as the independent chair). All PGRs are given the opportunity to discuss their supervisory arrangements at the transfer viva without their supervisors being present. |
| | Each School prescribes the contents of the PGR transfer report. This will include a written component (e.g. sample chapter), information on the project plan, timetable for completion (usually in the form of a Gantt chart), an account of progress made on the project to date, any difficulties encountered and overcome any future research training requirements. The PGR must also complete an academic integrity statement. |
| | In all cases, candidates will have access to the transfer assessment report and transfer recommendation form within GRAD. |
| 6.3 | The decision on transfer must be recorded in writing, agreed by all the members of the assessment Panel and signed by either the Chair or the independent assessor, and will contain a brief assessment of the PGR's progress. In all cases the PGR must receive a copy of the decision made by the assessment Panel in writing. |
| 6.4 | The Faculty Director of Postgraduate Research Studies  or Head of the School, as appropriate (see note 8): (i) should keep a comprehensive record of the PGR's candidature, including notes of supervision meetings, reports, the agreed training plan and records and other information (for example, medical certificates) having a bearing on the PGR's progress; (ii) have overall responsibility for ensuring that formal assessment and monitoring of progress takes place and that any emerging issues are addressed. |
| 6.5 | The Faculty Director of Postgraduate Research Studies  or Heads of Schools, as appropriate (see note 8) are strongly encouraged to make provision for PGRs to present their work regularly at seminars involving staff and other PGRs. |
| **7.** | **PGR Representation, Feedback and Channels of Communication and Complaints** (see also 5.2 above) |
| 7.1 | The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see note 8) should ensure that PGRs, are represented on the postgraduate or other relevant school staff-student committee and on the Faculty Graduate School Committee and that adequate opportunity is given to discuss issues affecting them.  PGR representatives will not be involved in the consideration of matters relating to individual PGR cases. |
| | In the Faculty of AHC, the nine Schools' PGRs are represented on the Faculty Graduate School Committee through the School Postgraduate Student Representatives. |
| | Heads of School and the Director of the Postgraduate Research Studies will ensure that PGRs are represented on the relevant School Committee(s) which handles PGR matters through an election held amongst the PGR body in each school.  Schools can propose that more than one PGR rep is appointed.. |
| 7.2 | PGRs should make use of the University Student Complaints Procedure (which is published on the University website ) if they are dissatisfied with any aspect of their supervision or with facilities available for their research. They should be encouraged first to consult the supervisor or the Postgraduate Research Tutor and, after the outcome of that consultation, to make use of the University Complaints Procedure, where appropriate. |

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| 7.3 | The University has in place a [procedure](#) governing the consideration of PGR appeals which is published on the University website. |
| 7.4 | The University regularly surveys PGRs about their experience and satisfaction with arrangements and facilities for research degrees and all PGRs are invited to participate. |
| **8.** | **Minimum standards of facilities provision for full-time PGRs** |
| | As a general principle, the Graduate Board has specified that access to facilities such as printing, photocopying and common room facilities for PGRs should be commensurate with the requirements for the research. A clear statement on these matters should be included in the [Faculty Protocol](#) for the implementation of the Code of Practice. |
| | Issues related to the appropriate resources for the proper conduct of the research (e.g. equipment, library collections and computing facilities and software) must be considered prior to the acceptance of the PGR (see 3 above). |
| | Faculties and Schools should provide the following for all full-time PGRs who request or require them: |
| | <ul><li>Sufficient flexible work and storage space</li><li>Opportunities for interaction with fellow researchers and academic staff</li><li>Access to the University's Computing network and internet</li><li>Access to a printer for work prescribed by the School</li><li>Access to a photocopier for work prescribed by the School</li><li>Access to a telephone for work prescribed by the School</li></ul> |
| | The Faculty gives all PGRs a £40.00 MyPrint account at the start of each academic year. Each school provides flexible work space and phone access as required. The Faculty also provides a general PGR Faculty work space, as well as a PGR Common Room in Botany House. |
| | Similar facilities should be made available for those studying under split site arrangements whilst they are resident in Leeds and for part-time PGRs, where appropriate. |
| **9.** | **Responsibilities of Deans of Faculty, Faculty Directors of Postgraduate Research Studies, Heads of Schools** |
| | The responsibilities of Deans (or where they have been delegated to Faculty Directors of Postgraduate Research Studies or Heads of Schools)  may be summarised as follows: |
| | <ul><li>To ensure that an adequate management structure and procedures are in place for handling postgraduate research matters</li><li>To ensure that minimum standards of facilities are available to PGRs</li></ul> |
| | <ul><li>The delegation, where relevant, of responsibilities for postgraduate matters to appropriate individuals (for example Heads of School or Postgraduate Research Tutors)</li><li>To recommend supervisors to the Graduate Board</li><li>To make alternative and acceptable supervision arrangements when a supervisor leaves the University</li><li>To ensure that no supervisor is overloaded with supervisory responsibilities</li></ul> |

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| | and to review the position regularly<br>• To specify the minimum number of supervisory meetings within their area (subject to meeting the minimum requirements specified by the University in this Code)<br>• To ensure that a comprehensive record of the research degree candidature of all PGRs is maintained<br>• To ensure that PGRs are represented on relevant Faculty and School committees |
| **10.** | **Assessment processes for research qualifications** |
| | The Graduate Board prescribes arrangements whereby the criteria, regulations and learning outcomes for the award of different types of research degrees are clear, rigorous and widely available. |
| | The Graduate Board publishes eligibility criteria for the appointment of Examiners. As a minimum two appropriately qualified Examiners are appointed for each candidate with at least one Examiner being external to the institution.  Internal Examiners are required to attend a University training course before acting in this capacity.  No member of staff who has been substantially involved in the research may serve as an Internal Examiner.  Responsibility for the consideration and review of recommendations from Schools for the appointment of Examiners is delegated by the Graduate Board to its specialist Examinations Group, which monitors the frequency of appointments of examiners. |
| | In order to ensure consistency within the examination process Examiners receive written instructions on the relevant University procedures together with the criteria for the recognition of different levels of achievement.  These instructions are widely available within the University. |
| | After the submission of the thesis all candidates for research degrees are required to undergo an oral examination with the appointed Examiners and: |
| | • the examination should normally take place within a maximum time scale of three months from the date of the dispatch of the thesis to the Examiners;<br><br>• 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;<br><br>• a supervisor may be an observer at the examination at the request of the PGR and if not present must be available for consultation with the Examiners if required;<br><br>• the Examiners should advise the candidate informally of the recommendation being sent forward, normally within 24 hours of the completion of the oral examination.  The details will depend upon the precise recommendations being sent forward.  Where appropriate, information about the University appeals procedure (see 7.3 above) must be provided to the candidate. |
| | **University Monitoring** |
| | The Graduate Board requires its Examinations Group to monitor and review all aspects of the examination, including the selection of examiners, the implementation of the procedures, the nature and details of the reports and the overall performance of candidates and staff within Schools and Faculties. |

**Endnotes**

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

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

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

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

4(b). Consideration of applications to some Doctoral Training Partnerships may involve academic staff from partner institutions and at least one member of academic staff from the University.

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

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

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

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

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

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

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

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

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

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

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

PGRO/ST, Ext 35778, 21/12/17

## Annex A – Graduate School Committee

**Core Membership**

Chair
Dr Mic Spencer (Director of Postgraduate Research Studies for the Faculty of Arts, Humanities and Cultures)

Postgraduate Research Tutors
Dr Vien Cheung (Design, and Faculty representative on the Group on Scholarships, Studentships and Prozes)
Dr Shane Doyle (Faculty representative on the Group on Scholarships, Studentships and Prizes)
Dr Catherine Batt (English)
Dr Eva Frojmovic (Fine Art, History of Art and Cultural Studies)
Dr William Jackson (History)
Dr Ingrid Sharp (Languages, Cultures and Societies)
Dr Julie Firmstone and Professor Katrin Voltmer (Media)
Dr Michael Allis (Music)
Dr Ben Walmsley (Performance and Cultural Industries, and Faculty representative on the Examinations Group
Dr Scott Shalkowski (Philosphy, religion and History of Science)

Graduate School Administrators
Graduate School Manager
Kim Broughton-Roe

Senior Education Service Officers
Richard Borowski
Linda Watson

Education Service Officers
Helga Mitterbacher
Jamie Knipe
Emma Chippendale
Clare Smith
Jenneke Stevens
Karen Priestly

Education Service Officers (Assistant)
Phoebe Smith
Katie Lee
John Curzon

(N.B. The GSM sits on FGSC and one of the SESOs minutes the FGSC; ESO's are represented by one of their number on a rotational basis)

CEPRA
Dr Scott McLaughlin

Training
Dr Jenny Rivas Perez (Organisational and Professional Learning)

PGR Representatives
Simon Spier (FAHACS)
Stephanie Jones (Music)
Michelle Ulor (Music)
Reps from PCI, Media, English, Design, LCS, History and PRHS to be confirmed

Ex-Officio
Professor Frank Finlay (Dean of Faculty)
Dr Luke Windsor (Deputy Dean of Faculty)

Dr Simon Baines (Pro-Dean for Student Education)
Jenny Hamlin (Faculty Education Service manager)
Richander Birkinshaw (Faculty Service Delivery Manager)
Professor Philip Mellor (Pro-Dean for Research and Innovation)


**Annex A – Graduate School Structure – see attachment**

# AHC Graduate School Structure

- Director of Postgraduate Research Studies – Dr Mic Spencer
  - Graduate School Manager – Kim Broughton-Roe
    - Senior Education Service Officer – Richard Borowski
    - Senior Education Service Officer – Linda Watson
    - Education Service Officer – Helga Mitterbacher
    - Education Service Officer – Jamie Knipe
    - Education Service Officer – Emma Chippendale
    - Education Service Officer – Katie Lee
    - Education Service Officer – Clare Smith
    - Education Service Officer – Karen Priestley
    - Education Service Officer – John Curzon
    - Education Service Officer – Phoebe Smith
  - School of Design
    - Postgraduate Research Tutor – Dr Vien Cheung
  - School of English
    - Postgraduate Research Tutor - Dr Catherine Batt
  - School of Fine Art, History of Art and Cultural Studies
    - Postgraduate Research Tutor – Dr Eva Frojmovic
  - School of History and Institute of Medieval Studies
    - Postgraduate Research Tutor – Dr Will Jackosn
      - Postgraduate Research Tutor (Institute of Medieval Studies – Professor Emilia Jamroziak
  - School of Languages, Cultures and Societies
    - Postgraduate Research Tutor – Professor Ingrid Sharp
  - School of Media and Communication
    - Postgraduate Research Tutor – Dr Julie Firmstone
      - Deputy Postgraduate Research Tutor - Professor Katrin Voltmer
  - School of Music
    - Postgraduate Research Tutor – Professor Mike Allis
  - School of Performance and Cultural Industries
    - Postgraduate Research Tutor – Dr Ben Walmsley
  - School of Philosophy, Religion and History of Science
    - Postgraduate Research Tutor – Dr Scott Shalkowski