Research Student Handbook 2015-2016

This Handbook 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 Handbook was published in September 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.

Disclaimer

Whilst the University endeavours to ensure that the information contained in this brochure is accurate at the date of publication the University does not accept liability for any inaccuracies contained within it. Where circumstances change outside the reasonable control of the University, the University reserves the right to change or cancel parts of, or entire, programmes of study or services at any time without liability, even after students have registered at the University.

Circumstances outside of the University's reasonable control include, industrial action, over or under demand from students, staff illness, lack of funding, severe weather, fire, civil disorder, political unrest, government restrictions and concern with regard to the transmission of serious illness. The University's contract with its students does not confer third party benefits for the purposes of the Contract (Rights of Third Parties) Act 1999.

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
Tel: 0113 343 5778

Contents

Research Student Handbook

The Research Student Handbook is compiled annually by Postgraduate Research and Operations (PGR & Ops).

Research students are strongly advised to read the Handbook, as it gives details of the services and support available at Leeds, and offers advice about action that may be taken if difficulties are encountered during a candidature. Please note that it is your responsibility as a student to draw to the attention of your supervisor(s), the Postgraduate Research Tutor, the appropriate Faculty Director of Postgraduate Research Studies or Head of School as appropriate any problems that may arise.

We hope that you will find this Handbook useful throughout your time at the University. We would welcome feedback on the Handbook as it is updated annually. Please send suggestions to: rsa.communications@leeds.ac.uk.

Code of Practice for Research Degree Candidatures

The University has a *Code of Practice for Research Degree Candidatures* which sets out the minimum standards students can expect in connection with the supervision of research degree study at the University of Leeds and provides a framework of shared responsibilities between the University, supervisors and students.

Much of the Research Student Handbook 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. However it is important that you become familiar with the content of the Code and with other formal documents.

The Code of Practice for Research Degree Candidatures can also be found as Annex I of the Research Student Handbook.

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.

Postgraduate Research and Operations

August 2015

1   Management of Research Degrees

1.1   The Graduate Board

The University's [Graduate Board](#) formulates and implements policies and procedures for all research degrees. It also monitors and reviews all arrangements for research degrees and aspects of a candidature. The Board is chaired by the Dean of Postgraduate Research Studies, and is responsible for implementing policy and regulations via Postgraduate Research and Operations, Faculty Graduate School Committees and Postgraduate Research Tutors.

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.

1.2   Postgraduate Research and Operations (including Postgraduate Scholarships)

Postgraduate Research and Operations
Location: Student Services Centre, Level 9, Marjorie and Arnold Ziff Building
Normal opening hours: Weekdays 09:00-17:00; If you need to visit Postgraduate Research and Operations in person, you can come to the Student Services Centre counter: weekdays 09:00 – 17:00 apart from Wednesday when the counter is open 10:00 to 17:00.

Registration: rp_student@adm.leeds.ac.uk   (0113) 343 5057

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

Thesis submissions and examinations: rp_examinations@leeds.ac.uk (0113) 343 4003

Postgraduate Research and Operations is based within the Student Services Centre and issues official letters of admission, manages the registration that follows, and maintains records for every research student in the University. Specially trained staff will deal with most aspects of your career as a research student providing, for example, guidance on progress and monitoring, thesis preparation and submission, examination and graduation.

Postgraduate Research and Operations has responsibility for providing the Graduate Board with the information which the Board requires both in a routine way and for any special circumstances that may develop.

Postgraduate Scholarships

Location: Student Services Centre, Level 9, Marjorie and Arnold Ziff Building
Normal opening hours: Weekdays 09:00-17:00; If you need to visit Postgraduate Scholarships in person, you can come to the Student Services Centre counter: weekdays 09:00 – 17:00 apart from Wednesday when the counter is open 10:00 to 17:00.
Telephone direct line: (0113) 343 4007
Email: pg_scholarships@leeds.ac.uk   Website: http://scholarships.leeds.ac.uk

1.3   Faculty Graduate Schools

Each University Faculty has a [Faculty Graduate School](#) headed by a Director of Postgraduate Research Studies who will be a senior member of the academic staff. The precise arrangements in each 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 provide opportunities for research

students to interact academically and socially through the organisation of conferences, seminars and social events. Interdisciplinary dialogue will also be facilitated.

1.4   Schools/Institutes

As a research student of the University, you will find that most of your administrative transactions (and a varying amount of your academic contacts) are with the staff of the Faculty Graduate School or with the individual 'parent' School for the programme on which you are registered.

All students belong to an academic School/Institute or to one of a number of units which have been set up to provide the help and guidance which schools give to their students when it is needed.

Most School Postgraduate Research Administrators have an unrivalled understanding of how their own School 'works' and how to help its students solve their various problems. Asking their advice first may save you both time and trouble.

For further information on Faculty management structures, please refer to the Code of Practice for Research Degree Candidatures and Faculty Protocols

1.5   Postgraduate Research Tutors

On the recommendation of the Head of School, the Faculty Graduate School Committee appoints at least one Postgraduate Research Tutor in each School/Institute subject to the criteria specified by the Graduate Board.

The Postgraduate Research Tutor has responsibility, delegated by the Faculty Director of Postgraduate Research Studies and Head of School, for co-ordinating admissions, registration, appointment of supervisors, the transfer process for assessment for full degree registration, recording and monitoring progress and attendance of research students, examination arrangements, pastoral care and liaison with Postgraduate Research and Operations.

1.6   Support and wellbeing

Please visit the Student Education Service website to access the range of services available to all students at the University, including accommodation, health and wellbeing, children and family and work.

1.7   Student representation, feedback and channels of communication

Research students are represented on Faculty Graduate School Committees by Student Representatives recruited by their Faculty/School. These students participate in discussions and meetings to enhance the student experience and are encouraged to consult fellow students. They are also asked to make sure a wide variety of opinions are represented at the Committee meetings. Having Representatives ensures that research students have a platform to raise and discuss issues affecting them, and to influence future University policy for research degree programmes.

Contact details for the research Student Representatives may be obtained from the relevant Faculty Graduate School Manager/Co-ordinator.

1.8   Leeds University Union (LUU)

Leeds University Union provides additional training and support for these representatives, coordinated by the Academic Representation Team. Research students are also represented on the Graduate Board and other relevant groups of the Board by the Education Officer and a PGR student representative appointed by LUU. To find out more about these and other opportunities to have your voice heard, please contact Hannah Goddard H.Goddard@leeds.ac.uk

Other channels of communication also exist for research students to provide feedback on the existing arrangements for research degrees at Leeds. The University regularly surveys students about their experiences and satisfaction with arrangements and facilities for research degrees, and all research students are invited to participate. Leeds University Union also consults with PGR students about their satisfaction levels and they do this through surveys, forums and newsletters. PGR students are able to mandate the Student Executive Officers by submitting ideas that then become policy at the Better Forums, more information about these forums can be found at www.leedsuniversityunion.org.uk/yourideas

Finally, LUU works closely with the Postgraduate Society to arrange events and seek opinion on changes within the University. If you would like to be involved in these consultations please contact the Postgraduate Society

2 Registration, Fees and Student Records

2.1 Registration

Registration is the process by which the University confirms that it holds correct information about its students, their programmes of study and the arrangements for the payment of their tuition fees.

All students (including staff candidates) are required to register within three weeks of commencing their studies. Your School will let you know when you can complete registration. Students who do not complete registration within the required period may be liable to pay a late registration fee.

Registration and re-registration is accessed via the Portal

2.2 Advice for international students

2.2.1 Points Based System – Tier 4 General Student Visa

Tier 4 of the Points-Based System requires students and education providers to comply with certain responsibilities. These responsibilities apply wherever you study as a Tier 4 student and are not particular to the University of Leeds. Please take care to read this page carefully so you are aware of what you and the University are required to do.

As a Tier 4 student, the Home Office expects you to meet a number of conditions which are listed below:

• Remain registered as a full-time student and attend all of your supervision meetings, seminars, research training and other research events. If you are not able to attend then you should inform your School / Department as unauthorised absences must be monitored. Prolonged absences can result in reports to the Home Office and your visa may be curtailed (shortened).

• Register with the police if it states on your visa that you are required to do so. You must also make sure that your police certificate is kept up-to-date with your current address and immigration permission.

• Leave the UK if you stop studying (for example if you are granted a suspension of studies). You should always seek advice from the International Student Office if your registration status is about to change.

• Do not breach the conditions of your visa. This includes ensuring that you do not work more hours than you should. For further information about working in the UK whilst on a Tier 4 student visa, visit our working during study page

• Inform the university if you change immigration status and no longer have Tier 4 immigration permission. You can do this by bringing your new visa into the Student Services Centre.

• Inform the university every time you obtain a new Tier 4 (General) Student visa by bringing your Biometric Residence Permit and your passport into the Student Services Centre

• Ensure the university holds up to date contact details for you. This should include your UK address as well as telephone numbers and any university and/or personal email addresses. We may need to communicate urgent immigration-related information to you via these contact details so it is essential that you keep them up to date and check your messages regularly.

• Inform the university if your application to the Home Office is refused. You should seek advice from the International Student Office if this happens

• If you change to a shorter programme, you must inform the UK Border Agency by e-mailing them at MigrantReporting@homeoffice.gsi.gov.uk

• You can do simple things to protect your immigration status in the UK. Visit the UKCISA website for more details.

As a Tier 4 Sponsor, the Home Office 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 passport, Tier 4 (or other) visa and ATAS clearance where appropriate

• Inform the Home Office of any students who fail to register for their programme of study

• Inform the Home Office of any students who suspend or withdraw from their programme of study.

• Monitor the attendance of Tier 4 students and report to the Home Office any prolonged absence that affects a student's ability to complete their studies within the expected timescale.

• Inform the Home Office about any significant changes to a student's circumstances or programme of studies (e.g. if a student completes the programme early).

Failure to attend your programme of study, or to document your supervisory meetings properly, could lead to the University withdrawing your candidature. The University would be required to send a report to the Home Office informing them of your lack of attendance and withdrawal. The report would lead to your leave to remain in the UK being curtailed (shortened).

Please note the information above is subject to change due to changing requirements of the Home Office.

As an International student it is your responsibility to ensure that you have valid immigration permission at all times during your study at the University of Leeds, whilst you are in the UK. If you allow your immigration status to lapse at any time during your registration the University will suspend your study or withdraw you from your programme of research. You must keep the University informed of any changes to your immigration status throughout your candidature.

If you need specific advice on your visa please contact the International Office on Tel: +44 (0)113 343 3930 or email: internationalstudents@leeds.ac.uk

2.2.2 University English Language Test (UELT)

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 this test is to identify students who, although they may have met the English language requirement, may benefit from further help with English language. Following the test students may be

required to attend some additional classes which are free of charge. Failure to attend prescribed classes could adversely impact upon the candidature.

(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 Programmes 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.

2.2.3 Language Centre Support

The Language Centre provides resources for independent study, a Languages for All programme, as well as language support for international students through in-sessional classes.

English language and academic study skills support

The Language Centre provides free, part-time in-sessional courses for students who are already studying in their academic departments and who may benefit from academic English language support. These include workshops which are open to any student whose first language is not English and Academic Writing Skills Courses which are usually only for students who score less than 60% on the University English Language Test.

Language facilities

The Language Centre is well equipped, providing a large Language Zone, where students can study independently. Resources include learning materials in over 40 languages, an extensive collection of video material, over 60 satellite television channels in more than 20 languages and computer assisted learning.

Foreign languages

The Languages for All programme gives an opportunity to develop foreign language skills at a variety of levels from beginners to advanced enabling students to pursue their passion for language study.

2.3   Registration of continuing research students

All continuing research students (including members of staff) are required to register on an annual basis within four weeks of the anniversary of their starting 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. If registration is not completed within one month then access to University facilities may be withdrawn. Students who fail to register over a specific time period may be withdrawn from the University and, if here on a Tier 4 General Student Visa, will be reported to UK Visas and Immigration as not having registered.

Parent Schools will notify students when on-line registration is available to them. If academic fees or accommodation charges from the previous year are still due, then students will be unable to register for the new year until the debts have been settled.

Permission to re-register may also be withheld in cases where a student has failed to make satisfactory progress or to achieve a satisfactory academic standard of work for the degree programme.

2.4　Registration on more than one programme

Research students will not normally be permitted to register concurrently on another programme of study at this or another Higher Education Institution. There are some exceptions to this, and they are explained in the Policy on concurrent registrations for research degree candidates

2.5　Registration categories

All doctoral students are initially registered as either provisional doctoral students or as postgraduate research students.

All doctoral students are required to undertake a transfer assessment, within the relevant time scale, for transfer to full degree registration. The assessment at the transfer stage is intended to identify whether the individual student and the research project have the potential for research at a doctoral level and also whether completion of a thesis within the standard period of study for the programme concerned is a reasonable expectation.

There are several registration categories:

(a) the provisional categories of:
Postgraduate Research
Provisional PhD
Provisional EdD
Provisional DClinPsychol
Provisional MD

Provisional DPaedDent
Provisional DClinDent[1]

(b) the degree categories of:
MPhil
PhD
Integrated degree of PhD and Master
EdD
DClinPsychol

DPaedDent
DBM[2]
DClinDent[1]
DHSC[3]
MD
Masterships by Research (MA, MEd, MSc, MSc(Eng))

2.6　Payment of academic fees

Academic fees for research students for session 2015-2016 are provided through the Student Education Service website. The payment of fees is a necessary stage in the registration process. Self-supporting

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[1] This programme was withdrawn to new applicants from 2012-13. Please see Professional Doctorate in Paediatric Dentistry (DPaedDent)

[2] Entry to this programme was suspended with effect from 2011/12

[3] This programme was withdrawn to new applicants from 2012-13

students are required to pay academic fees at registration, although they may apply to [Fees](#) to pay in instalments.

Slightly different arrangements exist for holders of awards from the UK Research Councils, overseas funding bodies and other government or industrial sponsors. Students must provide sufficient evidence of sponsorship (e.g. the formal award letter) at registration or they will not be permitted to register.

The University will invoice the sponsor directly for the annual academic fees and sponsors are required to pay the annual academic fees in full at the beginning of the programme of study, upon receipt of the invoice. Instalment arrangements are not available.

For further information about the payment of academic fees, contact [Fees](#)

All students should make themselves aware of the University's *General Academic Regulations* regarding the payment of fees.

For your safety and to ensure compliance by the University with banking and financial legal requirements, you should not pay your fees using cash.

Members of staff undertaking a research degree should refer to the document *Arrangements for part-time research degree study at Leeds by members of Leeds University staff*

2.6.1 Overtime fee

The overtime period fee of £190 for session 2015-16, which is non-refundable, is a special concession that allows all doctoral candidates (i.e. excluding Mastership by Research and miscellaneous study) to register on a reduced fee after the standard period of study but within the maximum period of study.

During this time, the candidate should be completing the writing of the thesis and not undertaking further research. Schools should therefore ensure that candidates involved in further research register as full-time or part-time students and they will be required to pay fees accordingly.

If students submit within one month of the end of the standard period of study or start of the overtime period then they will not be required to pay the overtime fee.

2.7   Your Student Identification Card

All students are required to obtain a Student ID Card as part of the registration process. Failure to do this may result in being withdrawn permanently from the University. It is recognised that there will be some exceptions where it is not practical to obtain a student ID card[1].Your student identification card will be valid for the life of the programme of study and you will therefore only be issued with a student card upon completion of registration for your first year of study as a research student. **You will, however, still be required to complete registration on an annual basis on the anniversary of your start date while you remain a candidate for the degree.**

Full guidance on obtaining a student card, including information on replacement student cards, can be found [on the SES website](#)

2.8   Your student record

Details about all Leeds research students are held on a computer record which is used in the management of specific aspects of a research degree candidature (including admission, registration, examination, award etc) and for statistical monitoring by the University.

Each year the University provides information to the UK Higher Education Statistics Agency (HESA) relating to its academic staff and students. This is a national record providing statistics to the Higher Education Funding Councils and the Department of Education for Northern Ireland and to the Higher

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[1] Students under split site arrangements who are not on campus and where a student is a member of staff and has a University of Leeds staff ID card

Education Institutions themselves. Should you require further details of the information provided by the University please consult the HESA website

Information about the *University Code of Practice on Data Protection* (which accords with the Data Protection Act), including *Guidelines for the Retention of Personal Data* and a *Request Form for Access to Personal Data* are published on the Secretariat website.

2.8.1 Change of name

Please remember that the name shown on your award certificate will be the name held on your student record. You must register using your legal name (i.e. the name shown in your passport or other legal documentation). If you wish to change your name from that used when you first registered with the University you must bring supporting evidence that the new name is valid to the Student Services Centre Counter. Such evidence includes a birth or marriage certificate, deed poll, etc. International students must bring their passports. The *Change of Name Form for Research Degree Students* is available on the SES website

It is not possible to change the name after an award certificate has been issued.

2.8.2 Change of address

Any change in your home or term-time addresses must be notified by logging onto Student Services via the Portal

International students registered with UK Visas and Immigration (UKVI) are required to keep UKVI informed of any changes to their term-time address. You should also keep the Home Office informed of any change of address.

2.8.3 Registration certificates

In most cases the University can produce an official certificate confirming that you are a bona fide student at the University of Leeds. This includes, but not limited to, a Council Tax Statement to enable you to apply for a reduction in council tax, opening a bank account, obtaining a visa for travel purposes, or for the purposes of your sponsor or grant awarding authority. You can request a statement from the Student Services Centre counter in person or by completing the request form.

In some circumstances depending upon the nature of the request the production of the certificate may be referred back to Postgraduate Research & Operations for production (for example if you have submitted for examination or we need to confirm scholarship information with your School) – in which case students should allow up to 5 working days from the date of making a request.

2.8.4 Council tax

Postgraduate Research and Operations sends an electronic list of all postgraduate research students who have informed us that they live at a Leeds address and are registered on a full-time research degree to Leeds City Council to assist them with processing student Council Tax Exemptions.Full information and guidance on the Student Education Service website

2.8.5 Council tax exemptions for international students

International students on full-time courses of more than 24 weeks will be exempt for Council Tax purposes. The spouse of a full-time international student can also be exempt for Council Tax purposes. Full information and guidance can be found on the UK Council for International Student Affairs (UKCISA) website

Students in their overtime period should be eligible for Council Tax exemption provided they are registered on a full-time programme of study. Further advice is available from the Students Union.

Research students who have submitted their thesis are classed as "registered whilst awaiting examination" for up to 6 months whilst awaiting oral examination and are provided with a student ID card solely for the purpose of using the library and computing facilities whilst preparing for their viva. Such students are not classed as either full/part-time or overtime students during this period and will not therefore qualify for Council Tax exemption during this period.

Further advice can be sought from the Student Advice Centre in the University Union

2.9   Postgraduate Development Record System

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

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 system has been designed to be intuitive to use, without the need for training. A support guide is available to download

2.10 Communication from the University

Students are expected to regularly check their student email account for communications from the University.   This will include notification of any approved suspensions or extensions of study, confirmation of transfer to a specific research degree category and notifications regarding the examination process.

Information and guidance on IT systems support is available from the University IT website.

3   Starting your Research Degree

3.1   Induction

The arrangements for induction vary between faculties/schools/institutes and also according to the requirements of the individual research project. You are therefore advised to check with your School for further information and advice about induction. The induction includes a workshop such as *Starting your Research Degree*, where you will have an opportunity to meet other new research students, find out more about PGR studies at Leeds and prepare for the early stages of your research project.

3.2   University Welcome

The University holds a welcome event throughout the academic year. Its purpose is to bring together new research students from across the University, signpost students to key areas of the University and the resources and facilities available, provide an opportunity for students to meet staff from core support services across the University.

Details of forthcoming welcome events will be sent by e-mail to all new postgraduate research students.

3.3   Key information sources for new research students

As a new research student at Leeds, there is a wide range of information available to help you become familiar with your work environment and to start your research degree programme. Some useful documents and services for new research students are listed below.

University's Code of Practice for Research Degree Candidatures

The Code of Practice is a key document that sets out a framework of shared responsibilities between the University, supervisors and candidates. It is provided as an Annex to this Handbook.

Faculty Protocols

Each of the Faculties also has a *"Faculty Protocol for Implementation of the Code of Practice for Research Degree Candidatures"*. This is an expanded version of the University's *Code of Practice for Research Degree Candidatures*, containing more detailed information about local procedures. In addition, Faculties offering practice-led research programmes also have a protocol for practice-led research degree candidatures.

Ordinances and Regulations for Research Degrees

This document contains the formal regulations and requirements for all of the University's research degrees. It provides details of the general University regulations regarding entry requirements, assessment of progress, time limits for examination and the criteria that must be met before research degrees can be awarded.

Programmes of Study/Learning Outcomes for Research Degrees

To qualify for the award, each candidate must meet the required learning outcomes for their registered programme of study (e.g. PhD, DClinDent, DPaedDent, DClinPsychol etc). 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.

Researcher Training and Development website

A number of providers at the University work closely together in offering training and development opportunities for research students. Full details of all opportunities across the University can be found on the University's Researcher Training and Development website.

Material from your Faculty/School/Institute

You should also receive material from your Faculty/School/Institute about the particular arrangements for undertaking research within that Faculty/School/Institute for example this may be a School PGR Handbook. This may include, for example, information on the specific facilities that are available to you, health and safety advice relevant to your research, as well as opportunities for participating in conferences or in social and extra-mural activities.

3.4   Supervision models

The University has two main models of supervision. 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.

Some students may have a single supervisor (together with a Mentor/Advisor).

Each supervisory team must satisfy the University's criteria regarding Eligibility for Research Degree Supervision

Students will be able to access details of their supervisory team (and any subsequent changes) through the PDR.

In addition to their supervisor(s), students are reminded that there are further levels of support within the Faculty/School available to them. This includes the Postgraduate Research Tutor, Faculty Director of Research Studies and Head of School.

Each Faculty/School has a procedure whereby the student is offered the opportunity to meet, 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 should be appointed.

3.4.1 Change of Supervisor(s)

A student's supervisory team is set up with the intention 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 when 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.

Faculty/Schools are advised that if a supervisor is 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 then alternative arrangements must be put in place at the earliest opportunity to ensure that continuity of supervision is maintained. Responsibility for recommending the appointment of suitable supervisors to the Graduate Board rests with the Dean of 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. Changes to a student's supervisory team must be approved by the Graduate Board.

If the supervisor is due to take up an appointment at another institution the Faculty/School will normally convene a meeting to confirm future supervisory arrangements. Students should be informed by the Faculty/School of any such changes to their supervisor(s) at the earliest opportunity.

3.5   Selection of subject/research project

You should seek the advice of your school and your supervisor(s) about the selection of your research. The research must not be so large that it cannot be mastered within the standard period of study for the degree and should not be so limited that it gives you insufficient scope for the necessary originality and aptitude for research which you will be required to demonstrate during your period of study. You should discuss your research in detail with your supervisor(s) to clarify such matters as the experimental design, methodology, research ethics and the resources needed as well as undertaking a training needs analysis.

When undertaking your research, you should guard against the danger of becoming so engrossed in the detail of one aspect of your research that you neglect the wider aspects of the topic and the discipline as a whole, so losing a sense of proportion. If, as your work proceeds, you contemplate a change in its scope or emphasis, you should seek the opinion of your supervisor(s) at an early stage.

3.6　Research ethics and the University's ethical review process

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, 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

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 at
http://ris.leeds.ac.uk/info/70/ethics/101/applying_for_ethical_review

3.7   Safeguarding data and data protection

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 your N: or M: drive where it is secure and backed up regularly. It is not good practice to store research data on personal computers (or removable medium) and to do so will be in breach of the University Information protection policy if personal data is involved.

Consideration should be given to the length of time your research data is stored. 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.

Effective research data management ensures data is available for reuse - potentially by the original researchers or their students, or, where appropriate, by other researchers inside and outside the institution. Information on good management practice is available at
http://library.leeds.ac.uk/info/461/research_data_management

The University's Research Data Management policy is available at http://library.leeds.ac.uk/research-data-policies#activate-tab1_university_research_data_policy

The Information Protection Policy is available at
http://it.leeds.ac.uk/info/113/policies_and_information_security

This explains the steps that must be taken to protect the security of sensitive information.

It is important that students are aware of and comply with the University's policies on Research Data Management and Information Protection.

Data storage and safeguarding issues should be discussed with your supervisor and recorded in your Training Plan and Data Protection Protocol (available at
http://ris.leeds.ac.uk/ResearchDataManagement), if applicable.

Advice and guidance on how to identify issues around protecting research data used and produced is available within the Information Protection Policy and the Policy on Safeguarding Data – Storage, Backup and Encryption at http://it.leeds.ac.uk/info/116/policies

All students working with personal data should be aware of and comply with the University's Code of Practice on Data Protection available at:
www.leeds.ac.uk/secretariat/data_protection_code_of_practice.html

Further guidance on data management is available at
http://ris.leeds.ac.uk/ResearchDataManagement

Details of training and development workshops relating to data security are available from the Staff and Departmental Development Unit website: http://www.sddu.leeds.ac.uk/research-innovation/post-grad-research-students

3.8   Guidance and help from your supervisor

Your research and the content of your thesis have to be your own work for which you carry full responsibility. The requirement is that a full-time research student will have a minimum of 10 supervision meetings a year. The relevant number for part-time students is 5 a year. Your supervisor(s) will offer guidance and advice but there is a limit to the amount of help that you should expect to receive. It is recommended that if you are not in frequent contact with your supervisor you should arrange a system of regular meetings which should be as often as necessary to ensure that your work is not hindered.

There should also be separate regular reports by the supervisor on the student's progress. Supervisors are also responsible for reviewing training needs and agreeing a training plan with the student. Both these activities are to be recorded, and kept, in the Postgraduate Development Record.

3.9   Proof Reading Policy

The proof reading policy is intended for the guidance of students and academic staff and applies to all students undertaking assessment for a taught module (which may form part of an integrated degree of PhD and Master or professional doctorate programme or on a "stand alone" basis.

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

3.10 Academic integrity and plagiarism

All research students are required to maintain high standards of academic conduct and, in particular, to avoid conduct amounting to the fabrication of research results or plagiarism.

Those students who are following programmes of study which contain taught modules, or are undertaking individual modules on a 'stand alone' basis, are asked to refer to the Procedures on Cheating, Plagiarism, Fraudulent or Fabricated Coursework, and Malpractice and the Skills@Library website

3.10.1 The fabrication of research results and plagiarism: definitions

The fabrication of research results includes:

(a)   claims, which cannot be reasonably justified, to have obtained specific or general results; false claims in relation to experiments, interviews, procedures or any other research activity; and the omission of statements in relation to data, results, experiments, interviews or procedures, where such omission cannot be reasonably justified.

(b)   For research degree students at this University plagiarism is defined as presenting someone else's work, in whole or in part, as your own. Work means any intellectual output, and typically includes text, data, images, sound or performance. In extreme cases it may take the form of submitting a thesis, a transfer report or other written/practical work, significant parts of which are simply copied from the work of another; but it remains a serious matter even where it relates to minor elements and has been caused by poor standards of scholarship rather than intentional cheating. An honest and self-critical approach combined with rigorous standards of scholarship should prevent any suspicion of plagiarism.

The following general guidelines may assist:

(i)   passages taken verbatim from the work of another must be enclosed in quotation marks and a full reference to the original source provided. The substitution of a few words in an otherwise verbatim passage will not obviate the need to use quotation marks and to provide a full reference;

(ii)   where a student is conveying in his or her own words the work of another, due acknowledgement must be given by a full reference to the source and care taken clearly to distinguish between the student's own work and those of the other;

(iii)   where work is the result of collaborative research, the contribution of collaborators must be clearly stated and acknowledged; similarly, due acknowledgement should be made of specialist assistance or advice which may have been given, for example in the analysis of data;

(iv)   all students must ensure that they have read and understood the University's published rules on plagiarism as contained in this Research Student Handbook and also any rules specified at School or Faculty level;

(v)   a student who is in any doubt on this matter should consult the supervisor(s);

(vi)   any student guilty of plagiarism may be expelled from the University at any time, or have their award revoked, for further information please visit the SES website

All students 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 and in the thesis submission.

3.10.2 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 done online using the Postgraduate Development Record system when you upload your transfer report.

A *Statement of Academic Integrity* section is also included in the *Thesis Submission Form*.

3.10.3 Additional advice and resources available

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

Plagiarism is covered in the *Starting Your Research Degree* courses, which are available to all new research students. It 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 in-sessional courses.

There may also be support and training available at a School/Faculty level and candidates should contact their Supervisor or Postgraduate Research Tutor for further information.

3.11 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.

3.12 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[1] must submit their successful thesis in both hard bound and electronic form.

This may affect how you structure your thesis. Before you begin, consider that your thesis must be in a format and with contents suitable for electronic publication. You will, for example, need to pay special attention to any third party copyright material you wish to include. You should also consult early with your supervisor(s) to determine the extent to which your thesis may contain commercially exploitable inventions/innovations/matter suitable for publication in refereed journals or as a monograph. The advent of digital publication is affecting the approach taken by publishers. Seek the advice of your supervisor(s) – or the intended publisher of your monograph or paper – so you know whether to ask the University to embargo your eThesis from publication. You can restrict access to your 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 while you negotiate publication in peer-reviewed journals or a monograph.

Further advice on copyright is available from the University Library website.

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[1] Students whose research began in or after September 2009

3.13 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 and interviews. Fieldwork does not include Student Placements or Study Abroad. For students, fieldwork also includes meetings and conferences off campus in the UK and abroad.

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.

International students conducting fieldwork outside of the UK for one month or longer must complete a Change of Study Location form.

For further information on Fieldwork assessment and risk management, please see the Health and Safety Services website

4   Researcher Training and Development

4.1   Introduction

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 researchers to support you through your research degree and in your 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 modern research degree combines the bedrock of training in 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.

4.2   Personal and professional development opportunities

A number of providers at the University, which includes the University's Graduate Training and Support Centre, work closely together in offering training and development opportunities. Full details of all opportunities can be found on the Researcher Training and Development website and via the Graduate Training and Support Centre website.

4.3   Your Training and Development Plan

Having an effective training plan will enable you to complete your doctorate on time and with a minimum of stress. So it is worth investing time in planning, reviewing progress and amending your plan.

Research students have a wide range of backgrounds and prior experience. For this reason, training and development activity for research students at the University of Leeds is needs based and a wide range of opportunities are offered to allow tailoring to the needs of the individual.

It is a requirement of the University that every postgraduate researcher discusses their training and development needs with their supervisor, agrees a training plan and records the training plan in the Personal Development Record (PDR) within one month of commencement of study. Your supervisor(s) will monitor your progress against the training plan regularly: as a minimum as part of the First Formal Progress Report, the Progress Report: transfer Stage and annually thereafter.

4.4   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.

The University of Leeds provides training for postgraduate researchers with reference to the four RDF domains.

4.5   Personal Development Planning

All students are encouraged to record and reflect on training and development activity. During Induction you will be given further information in respect of the tools available to support you in developing a Training Plan and Personal Development Plan. Information is also available from the Graduate Training and Support Centre website.

4.6   Step by Step Guide to postgraduate researcher training and development

Step 1. Analyse your training and development needs

Needs analysis is designed to support you in thinking about your personal and professional training and development needs ahead of a discussion with your supervisor(s).The University of Leeds Training and Development Needs Analysis is based on the national Researcher Development Framework (RDF). Use this Training and Development Needs Analysis Tool in the PDR to help you consider your training needs within the context of your research degree and your future career. This allows you to track your progress. Alternatively, you can download a printable version of the Training and Development Needs Analysis Tool from the Graduate Training and Support Centre website

Step 2. Identifying training and development opportunities to support your needs

You should consider the range of training and development opportunities open to you.

A number of providers at the University work closely together in offering training and development opportunities. Full details of all opportunities across the University can be found on the University's Researcher Training and Development website.

Remember that there are many methods of training and development activities open to you as a research student including workshops, seminars, practice and feedback opportunities and learning from experienced colleagues.

Step 3. Planning your training and development

You should discuss your training needs with your supervisor(s) and agree a training plan. The training plan should set out the skills that you wish to develop. It should include clear and achievable targets stating deadlines for completing different training activities. It should also detail where you are going to access particular training and development opportunities from. A training plan is personal and based on your own self-analysis and should be more than a commitment to attend a series of courses offered by your university. You must record your training plan in the PDR: you can enter your training plan directly into the PDR using the 'My training plan tab' and track your progress or you can upload your training plan as a document.

Step 4. Recording and reflecting on your training and development

Most of the workshops and events you take at the University will appear in the PDR automatically but you will need to record some training yourself, especially any training provided outside the University. There is private space in the PDR for you to record your reflections on the training.

5 Taught course modules

Unless specific taught course modules are a prescribed part of their research degree programme (where different arrangements may be made), research students should undertake study for taught course modules only after consultation with, and approval from, their supervisor(s). Where it is agreed with the supervisor(s) that the student should undertake the assessment for the module, the student must ensure that they register for the module through Postgraduate Research and Operations. Schools are reminded that modules taken in other Schools may incur a charge.

The expectation 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, DClinPsychol, DClinDent, DPaedDent and DHSC).

6 Progress, Assessment and Monitoring

6.1 Attendance

The Code of Practice for Research Degree Candidatures and Attendance Monitoring Policy provides a summary of the responsibilities of each research student and, in particular, that a student must agree to attend relevant training, personal development programmes and research seminars in consultation with their supervisor(s),submit work regularly, maintain regular contact with their supervisor(s) and attend supervision meetings.

Full-time students are required to have a minimum of 10 formal supervisory meetings a year and part-time students 5 meetings a year. Failure of the student to attend their programme of study, to document supervisory meetings properly, neglect of work or failure to make progress and/or achieve a satisfactory academic standard may result in the termination of the candidature and the student being required to withdraw from the University.

6.2 Reports on progress

Supervisors shall produce regular reports on student's progress. Supervisors are required to upload all progress reports into the PDR system and these can then be viewed by the student. Students are also required to submit regular written summaries of their progress.

The progress of the candidate in acquiring sufficient expertise in 'generic and subject/professional skills' will be monitored regularly by supervisors in their reports on students' progress as well as in the

transfer process. Progress will be reviewed against the agreed training plan and relevant learning outcomes.

The University's minimum requirements for progress reports are set out below. The exact frequency of reporting and any additional local requirements prescribed by individual Faculties/Schools are set out in the [Faculty Protocol for the Implementation of the Code of Practice for Research Degree Candidatures](#).

6.3   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 progress report 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.

6.4   Progress Report: 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.

6.5   Annual Progress Review (Post-Transfer)

The University requires that the progress of all students is monitored annually (post-transfer). Review meetings should take place each year on or before the anniversary of the start of the studies until submission of the thesis.

For example, for a full-time Provisional PhD candidate commencing study on 01 October 2014 the following is expected:

Date (by no later than)	Milestone
01 October 2015	Commencement of studies
31 March 2016	Six month 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)

There are two models for annual progress review meetings:

Model A – includes an annual review meeting 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)

Model B – requires an annual review meeting conducted by the supervisor(s) with the student – 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)

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 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.

7   Transfer Assessment

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 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 transfer assessments are managed through the PDR. The exact procedures for the transfer assessment may vary between individual Faculties/Schools according to the requirements of the different disciplines. Faculties/Schools will provide students with written guidance on the transfer process.

The decision to transfer is based on the submission of appropriate material for assessment i.e. a report/document written and submitted by the student. The student should upload their material for assessment into the PDR system and also complete the online *Academic Integrity, Safeguarding Data and Ethical Requirements (AISDE) form*.

All students must be interviewed by a Transfer Assessment Panel and this should take the form of a *viva voce* examination.It is expected that students are present in Leeds for their transfer. This equally applies to any repeat transfer assessment should one be required.

Information on the transfer process, deadlines, postponement and outcomes is available on the SES Website

Candidates accepted directly for the degree of MPhil will not be required to undergo a formal transfer assessment but progress should nevertheless be reviewed. Such candidates are not normally permitted to transfer to registration for a PhD degree.

7.1   Transfer deadlines

Method of Study	Degree	Transfer interview to be held and decision taken	Maximum period after deferral of decision
Full-time	Postgraduate Research, Provisional PhD or MD	within the first 12 months of period of study	18 months from the date of commencement of study
Part-time	Postgraduate Research, Provisional PhD	within the first 24 months of period of study	30 months from the date of commencement of study

Part-time	Provisional DBM	within the first 24 months of period of study	36 months from the date of commencement of study
Full-time	Postgraduate Research DHSC	within the first 15 months of period of study	21 months from the date of commencement of study
Part-time	Postgraduate Research DHSC	within the first 30 months of period of study	36 months from the date of commencement of study
Full-time	Provisional, DPaedDent DClinPsychol, DClinDent	within the first 18 months of period of study	24 months from the date of commencement of study
Part-time	Provisional DClinDent DPaedDent	Within the first 30 months of period of study	38 months from the date of commencement of study
Part-time	Provisional MD	within the first 18 months of period of study	24 months from the date of commencement of study
Full-time	Provisional EdD	within the first 24 months of period of study	24 months from the date of commencement of study
Full-time	Prov PhD (Dual award with UNICAMP, Brazil)	Leeds transfer will take place at the end of year 2 (within 24 months)	30 months from the date of commencement of study
Part-time	Provisional EdD	within the first 36 months of period of study	36 months from the date of commencement of study
Split-site	Provisional PhD	As specified in the Programme of Study for Models A, B or C	
Full-time	Integrated degree of PhD and Master	Candidates are accepted for study to the registration category of Postgraduate Research. Upon completion of the first year, the progress of candidates is reviewed and, where it is satisfactory, registration to a Provisional PhD candidature is permitted. If successful in progressing to Provisional PhD status, candidates will be required to undergo assessment by a formal Transfer Assessment Panel for transfer to PhD status before the end of the second year of study	
	Mastership by Research	Candidates for a Mastership by Research cannot normally transfer registration to MPhil or PhD.	

7.2   Postponement of the Decision on Transfer

Postponement of the decision on transfer will only occur in exceptional circumstances and subject to prior approval by the Graduate Board's Programmes of Study and Audit Group.

7.3   Recommendation following transfer

The recommendations that may be made by Transfer Assessment Panels are:

(i)   In the case of Provisional candidatures for doctoral degrees (including PhD) 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 MPhil registration[1]

(iii)   On the first occasion only, deferment of a decision about the transfer for a limited period to permit the work to be revised and then reassessed;

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[1] In the case of split-site candidates the option to transfer to M Phil registration is normally NOT available

(iv)   A decision that the candidate <u>withdraw</u> from the research degree candidature.

Please note that a transfer to Mastership by research at this stage of the candidature is not permitted.

The following information will also be required:

(i)   whether the candidate should now be registered for the degree of PhD (or other Doctoral programme) or MPhil

(ii)   the name(s) of the supervisor(s)

(iii)   the draft title of the thesis

(iv)   confirmation that the candidate has made satisfactory progress on the agreed training plan, appropriate ethical review arrangements are in place and that data storage and safeguarding issues have been addressed

(v)   any other factors which the school wishes to draw to the attention of the Graduate Board.

In addition, for candidates registered on practice-led programmes only:

(vi)   details of the work that will contribute to their final submission.

Success at the transfer stage has no direct bearing on whether the student will be successful at final examination it simply confirms that the Transfer Assessment Panel is satisfied that the student and the project has the potential for success. To qualify for a doctoral award a PGR must meet the required learning outcomes for the degree and satisfy the examiners that his/her achievement is of sufficient merit and that the thesis contains evidence of originality and independent critical ability and matter suitable for publication.

The Transfer Assessment Panel may, on academic grounds, recommend a deferral of the transfer decision to the Graduate Board. The time limit for any deferral after a transfer interview for a full-time PhD student cannot exceed 18 months from the commencement of study. If a school is unable to make a recommendation that the student should proceed to either Doctoral or MPhil study (where that option is available) within the time limit allowed then the student must withdraw.

Where a student initially registered for Provisional PhD is recommended to proceed to an MPhil, the grant awarding authority should be informed and the necessary adjustment in funding be made.

7.4   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 student (or 18 months if studying part-time). The period of study registered on the MA by research progress will be counted in total towards to doctoral candidature. Further information is available on the SES website

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.

8 Periods of Study and Completion of Research Degrees

8.1 Completion of research degrees: the responsibilities of the school, the candidate and the supervisor

Students must maintain regular contact with their supervisors and advise their supervisors if their project appears to be developing serious academic deficiencies, may not be capable of completion within the standard period of study 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, Head of School or Faculty Director of PGR Studies.

Supervisors must make any misgivings about the suitability of a student for the research degree known to the Postgraduate Research Tutor, Faculty Director of Postgraduate Research Studies or Head of School at an early stage. Although this is particularly important in the early stages of the candidature and before a decision is taken as to whether or not the student will be allowed to proceed to a degree, schools have the right to require a student to withdraw at any stage if progress becomes unsatisfactory.

Importance of completing the thesis before commencing employment

The University has clear regulations regarding the maximum time limits for the submission of research degree theses. Students can often fail to appreciate the difficulty of completing their work within the period required. 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 aware of the difficulties of completing and submitting their work if they propose such a course of action.

8.2 Periods of study

The University's expectation is that a student will normally complete their thesis within the standard period of study for their programme.

The standard period of study is the typical time between initial registration and submission of the thesis for a specified research degree programme. All students are reminded that the thesis submitted for examination should represent research that may reasonably be expected of a capable and diligent student during the standard period of study and that, in normal circumstances, the writing up of the thesis should be completed within that period.

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. The table below details the standard and maximum periods of study for the various research degree programmes:

Degree	Mode of Study	Standard Period of Study	Maximum Period of Study (time limit for submission)
PhD	Full-time	3 years[1]	4 years
	Part-time	5 years	7 years

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[1] in some specified cases the standard period of study may be 3-4 years

Split-Site PhD	Split-Site (candidates commencing study from September 2007)	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
DPaedDent	Part-time	5 years	7 years
DHSC	Full-time	3 years	4 years
	Part-time	5 years	7 years
MD	Full-time	2 years	3 years
	Part-time candidates commencing study from September 2007	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

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 (provided research work is completed) in overtime period
December 2018	thesis submitted for examination

A full-time PhD, EdD, DClinPsychol, DPaedDent and DClinDent 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).

8.2.1 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

8.3   Alterations to periods of study

8.3.1 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 and,

(b) 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 the reduction of the period of study that may be approved by the Graduate Board (with no reduction permitted for the Mastership by Research), as follows:

Earliest Dates for Submission

PhD, EdD, DPaedDent, DClinDent, DHSC full-time:	at the end of 2 calendar years of full-time study
PhD, EdD, DBM, 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
MPhil full-time:	at the end of 1 calendar year of full-time study
MPhil part-time:	at the end of 2 calendar years of part-time study

Please note that it is the responsibility of the student to check any implications of an early submission with their scholarship awarding body or provider.

International students (in the UK with permission as a student) are advised to contact the International Student Office for immigration advice on the implications of early submission to their visa status. The International Student Office can be contacted on Tel: 0113 343 3930 or see: http://www.internationalstudentsupport.leeds.ac.uk/immigration/

Early submission: refund of fees

Self-funding students who submit their thesis for examination before the end of their standard period of study (where a reduction to the standard period of study has been formally approved by the Graduate Board), for which they have paid academic fees in full, may be eligible for a partial refund of fees subject to completion of a successful examination.

No refund will be made unless all academic fees have been paid in full for the year/session in which the student is submitting. No refund will be made unless the student is successful in his/ her examination and any refund will not be paid until such a time as the student's name appears on a pass list. Students should note that the above fee refund applies only to those students submitting within the standard period of study (students who have suspended study during their standard period of study will not normally be considered for a refund). The Overtime period fee is a special concession that allows students to register for a reduced rate, is non-refundable, irrespective of the month of submission.

8.4   Absences, Suspensions and Extensions of Study

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.

A student who is unable to study or believes their progress is significantly disrupted should as soon as possible contact their supervisor or Postgraduate Research Tutor.

It is a requirement for a student to keep the University informed of any circumstances which significantly interrupt their studies and to provide appropriate documentary evidence (eg doctor's letter). It is important not to let time pass without informing your school and, where appropriate requesting a suspension. A suspension will not normally be backdated by more than one month. If you do not keep in contact with your School and advise them of any problems you are encountering you will lose the time available to complete your research.

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. Holders of a Research Council or University scholarship award may not receive maintenance payments during a period of suspension.

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.

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 will continue to progress their research.

Requests will normally be made before 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.

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. Students should contact the Faculty Graduate School Office/PGR Administrator in the School to enquire about local processes. The University has prepared a form for use by students in the absence of a local level form and this can be found on the SES website

The Postgraduate Research Tutor is responsible for submitting recommendations 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) are 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.

Limits on the Length of Suspensions/Extensions of Study

Any student commencing their research degree from the academic year 2012-13 onwards will not 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) other than in exceptional circumstances.

8.5   Unsatisfactory Academic Progress Procedure

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. However, if a students' academic progress is deemed to continue to be unsatisfactory then the supervisor(s) can instigate the Unsatisfactory Academic Progress Procedure.

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 (see annex 1). 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.

If it is deemed necessary to instigate the Unsatisfactory Academic Progress Procedure a student will be invited to an initial meeting normally with the Postgraduate Research Tutor (or Head of School) and at least one member of the supervisory team. Students will be permitted to invite a 'supporter' to accompany them to the meeting. The purpose of the meeting will be to advise the student that their progress is considered unsatisfactory, to detail the areas of concern and to set clear milestones and measurable targets for improvement within a clearly defined timescale. The meeting will also provide the student with the opportunity to identify any areas of training needs and to raise any mitigating circumstances. The procedure is intended to support a student's future progress.

The student will then be invited to attend a Final Formal Review Meeting. The purpose of this meeting is to assess the student's progress against the action plan and milestones set out in the initial meeting. There are four possible outcomes to the meeting:

- the student has made satisfactory progress against the agreed action plan and milestones and that no further action will be taken under the unsatisfactory progress procedure.

- the decision can be deferred[1].

- the student has not made satisfactory progress with the agreed action plan and milestones. For those students registered upon a PhD, where permitting, recommend that the student be transferred to registration for the degree of MPhil.

- the student has not made satisfactory progress with the agreed action plan and milestones and that a recommendation be made that the students registration be terminated.

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

Students may choose to be accompanied by a single supporter to a meeting under this procedure who may be anyone of the student's choosing (e.g. family member, friend, fellow student, LUU Advisor). The role of the supporter is to provide support to the student at the meeting for example, by taking notes during the meeting, or prompting the student if they omit to mention something of importance. The supporter is not permitted to represent the student or to speak on their behalf and they cannot appear if the student is not present in person.

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[1] For full-time students the maximum length of deferral is 3 months.

9   Thesis Submission and Examination

9.1   Overview of the submission and examination process

This section sets out the arrangements for <u>research</u> degree examinations. Those students who are following programmes of study which contain taught modules, or are undertaking individual modules on a 'stand alone' basis, should also refer to the regulations for taught courses, including plagiarism and cheating in University examinations and assessments, and appeals against academic judgement by taught students. Further information about the regulatory procedures for <u>taught</u> courses may be found on the following website: http://www.leeds.ac.uk/secretariat/ordinances.html

It is important that you are aware of the steps and timescales for submission and examination of the thesis. The University publishes a *Guide to the thesis examination process* for research degree candidates which includes the R*equirements for the format and presentation of theses*. This describes all aspects of the process including examination entry, layout, presentation and submission of your thesis, the oral examination, possible outcomes, award and graduation. A summary of the thesis examination process is provided in this section but you should consult the full Guide for detailed information.

During the final year of the standard period of study) you should attend any relevant workshops and you should also consult the *Guide to the thesis examination process* which describes how the thesis must be presented and submitted.

Well in advance of the date you intend to submit the thesis (at least 4 months): you should begin thinking about the process for examination entry and discussing appropriate examiners with your supervisor

Entering for Examination

- **At least 3 months before you wish to submit** – you <u>must</u> fill out the *Examination Entry Form* and pass it to your Supervisor for completion.
- Your Supervisor will then approach potential Examiners.
- The Graduate Board's Examinations Group will review and approve recommendations for the appointment of Examiners.

Submitting the thesis

- The thesis must be submitted at the end of the standard period of study (unless a reduction has been approved) but by no later than the maximum period of study for the degree on which you are registered.
- Students submit the correct number of copies of thesis at the Student Services Centre Counter along with a *Statement of Academic Integrity form*
- PGR & Ops checks the format of the thesis and dispatches the thesis to Examiners, normally within 2 working days
- The Internal Examiner makes arrangements for the oral examination. The examiners are asked to accept a timescale of 3 months in which to complete the oral examination (6 months for MD)

Attending for oral examination

- You **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 in which to complete the oral examination (6 months for MD)

After the oral examination

- Examiners usually notify the student of their recommendation after the oral examination but must do so within 24 hours

- The examiners must also prepare an *Examiners' Report* which is considered at the next Graduate Board's Examinations Group meeting. In all cases the Examiners' recommendation is subject to final approval by the Examinations Group

- Students that have passed subject to editorial and presentational corrections or minor deficiencies should begin their corrections **immediately after the oral examination** and return them to the Internal Examiner by the 4 or 12 week deadline.Referred students will receive *Notes for Guidance* to aid them in preparing for resubmission

Deposit of final thesis

- The final hard bound version of the thesis (including any approved required corrections) is deposited at the Student Services Centre by no later than 3 months after the internal examiner has given approval to the corrections made to the thesis. You may also be required to deposit a copy of your thesis in White Rose Etheses Online (WREO) using the online deposit service.

Publication of Pass List

- A student's name will be published on a pass list 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 outstanding debts to the University

Graduation

- Once a student's name has appeared on a pass list they are eligible to graduate *in absentia* or at a degree ceremony (held in July or December). Students must register their preference online

Please note that international students studying in the UK on a Tier 4 General Student Visa may need to apply for an extension to their student visa as a result of the outcome of their viva.

9.2   Courses and information to support examination preparation

Thesis preparation and viva workshops

A range of support is available to those 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. Workshops 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.

It may also be helpful to note the following:
Word for thesis (2 part course)

- Mock viva

You should consult your supervisor(s) for appropriate guidance in preparation for your oral examination. A "mock viva" may be helpful for some students, and if so, you should again consult your supervisors. The University provides all examiners with good practice advice on the conduct of the oral examination[1] and you may also find it helpful to consult this advice when preparing for your viva.

Assessment criteria used by the examiners

You should, at an early stage in your candidature, make yourself aware of the criteria for award of the research degree programme for which you are registered. This is the criteria that will be used by the examiners when examining the thesis at the final examination stage. The requirements and learning outcomes for research degrees are provided in the Ordinance and Regulations and Programmes of Study. 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 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. You might find it helpful to look at the examiners' report form which describes the criteria against which your examiners will be assessing your 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

1. Briefly describe the nature and purpose of the investigation
2. Comment on the evidence of originality, with an indication of the nature of any such evidence (specific examples should be given):
3. Comment on the evidence of independent critical ability, with an indication of the nature of any such evidence (specific examples should be given)
4. 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.
5. Comment on the written style and overall presentation of the thesis
6. Comment on the performance of the candidate in the oral examination

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[1] Included in the full Instructions to Examiners document

9.3   Examination Entry Form

At least three months before the submission of the thesis, which must be written in English[1], you must enter for examination by completing the University *Examination Entry Form* and giving it to your supervisor. You are advised to start thinking about the *Examination Entry Form* and discuss examination arrangements with your supervisor well in advance of this deadline, as it may take time to find suitable examiners who are available to examine your thesis.

The *Examination Entry Form* is available on the PGR & Ops website: www.leeds.ac.uk/rsa/forms/forms_thesissubmission.html.

Practice-led research degree candidates who commenced their study from September 2010 onwards must complete and return the separate *Practice-led Research Degree Exam Entry Form* to Postgraduate Research and Operations a minimum of 3 months prior to the date of the first live practice (where Examiners are required to view live practice). Where there is no examined live practice event, then the form must be returned a minimum of 3 months prior to the expected submission date of the thesis.

You will be required to answer questions on the form relating to whether you have been a member of University staff (as in some cases 2 external examiners might be required) ethical approval and inclusion of any work from solely or jointly authored publications

The Graduate Board's Examinations Group has agreed eligibility criteria for the appointment of examiners and independent chairs. In some cases the appointment of an independent chair may also be required. At least one internal examiner and one external examiner will be appointed. 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 final decision about the appointment of Examiners is made by the Graduate Board's Examinations Group.

No thesis can be dispatched to the examiners until your form has been fully checked in PGR & Ops and formally approved by the Graduate Board's Examination Group. Entry forms received less than 3 months prior to thesis submission may delay the dispatch of the thesis to the examiners and the examination process. The form will remain valid for 12 months from the date of approval by the Examinations Group.

9.4   Thesis presentation

You should refer to the University's *Guide to thesis examination process* which includes thesis format requirements before preparing the thesis for printing and binding.

These provide detailed advice on layout, typefaces and University requirements for the format of the thesis and also provide a complete overview to the thesis examination process from examination entry through to award and graduation.

Introduction

All students 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, you should aim to submit your thesis within the standard period of study prescribed for the programme. Standard periods of study and overtime periods vary for different programmes of study.

The advice of the supervisor(s)

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[1] With the exception of the School of Modern Languages and Cultures, where, in certain circumstances approved by the Graduate Board, a thesis may be submitted in a language other than English.

Students are solely responsible for the decision to submit their work for examination. However, you should always seek advice from your supervisor(s) before submission and are strongly recommended not to submit against the advice of the supervisor(s), although you reserve the right to do so, providing that the standard period of study for the degree has been reached and the maximum period of study has not been exceeded. You should make available to your supervisor(s), within an agreed timescale, the whole of the draft thesis for comment prior to submission.

The Graduate Board is clear that no research student should think that the award of a degree is guaranteed simply because the supervisor has indicated general approval for the thesis before it is submitted.

Content and style of thesis

Your supervisor will read and comment on the whole of the draft thesis prior to submission, provided that it is submitted within a reasonable time. You will receive advice from your supervisor on matters such as clarity and style, as well as academic content. However, you must realise that, at this stage, the relationship between supervisor and student is essentially one of academic equals in the particular research area concerned and the advice of the supervisor(s) must be seen as being offered in that context. Students must take responsibility for the work that they submit.

Language of the Thesis

Students for all awards must present a thesis which should be written in English with the exception of research degrees in the modern languages, where, in certain circumstances approved by the Graduate Board, a thesis may be submitted in a language other than English.

Length of thesis

Candidates and supervisors are advised that theses should not normally exceed a certain maximum length which is specified in the *Guide to the thesis examination process*. The stated word/page limits include all diagrams, appendices and footnotes. Only the bibliography is not included within the maximum word/page length. Advice on what steps to take if you think you cannot avoid exceeding the maximum stipulated length is also provided in the *Guide to the thesis examination process*

9.4.1 Presentation of name

You must use your registered name with the University on the thesis and this must be presented, in full, on the title page of your thesis, including any and all middle names which are held in the University's records.

The presentation of your name in the University records is normally expected to correspond with that shown in your passport or other legal documentation. Please note that the University provides each successful student with one original copy only of the certificate bearing the full name of that student according to its records on the date on which the student appeared on a pass list. Changes to the name registered in the University's records cannot be made after that date. If a replacement certificate is required in the future (e.g. if the original copy is lost or destroyed), this will also bear the full name under which the student graduated.

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

Please note, that a collection of publications bound together is not an acceptable form of submission for a research degree thesis at the University of Leeds. The Graduate Board has guidance on using in your thesis any material you have had published (either solely or jointly authored). Please see the Guide to the thesis examination process for further advice.

If you have used in your thesis work you must also provide loose copies of the publications alongside the copies of the thesis submitted for examination, to assist the examiners.

Candidates in the Faculty of Environment who wish to consider an alternative style of doctoral thesis including published material can find further information on the SES website

9.4.3 Binding of thesis for submission for the oral examination

It is normal practice to submit a thesis for the oral examination in a temporary binding, with submission of the thesis in the official hard binding after a successful examination Further information about binding is given in the Guide to the thesis examination process

The University's Print & Copy Bureau can also produce temporary bound theses, which meet the University's regulations and can facilitate the production of hard bound theses. They are located on level 6 of the Roger Stevens Building, Telephone 0113 343 2668.

9.4.4 Costs of preparing the thesis

Students are asked to note that the costs associated with preparing a thesis are not covered by academic fees and may well exceed £200 depending upon the length and style of the thesis. Students should seek the advice of supervisors and schools on the ways in which these costs may be kept to a minimum.

9.5   Submission of the thesis for oral examination

Practical details

Where the maximum time limit for submission falls on a day when the University is closed as a consequence of a holiday period (for instance a Public Bank Holiday), the deadline for submission of a thesis to PGR & Ops will be no later than the end of the next working day[1]. The concessions to cover University closed days are published on the website.

This does not apply to students whose maximum time limit falls on a Saturday or Sunday. In these cases, students will be required to submit their thesis to PGR & Ops on or before the last available working day of the month.

Process for submission

Submission can be made in person at the Student Services Centre Counter in the Ziff Building, or by post. A *Thesis Submission Receipt* will be provided at the counter at the time of submission. The form includes a *Statement of Academic Integrity* which must be signed by the student.

Students are solely responsible for the decision to submit their work for examination and for the thesis which is submitted. **You must check the copies of your thesis thoroughly before you submit them for examination.** Once you have submitted your thesis you cannot then subsequently change or amend it, even if you spot issues with the presentation or printing or if you find that you mistakenly submitted a draft version. Substitute version of theses, additional pages or supplementary material cannot be accepted after submission of the thesis and these must not be sent directly to the examiners. This applies in all cases, irrespective of whether the thesis was submitted for examination before the maximum time limit for submission.

Submission by post

If you are not in Leeds you may submit your thesis to the University by post or can arrange for a friend to submit the thesis on your behalf. A *Thesis Submission Receipt* should be downloaded, signed by the student and sent in with the thesis. The *Statement of Academic Integrity* section must be signed by the student. You must ensure that the thesis is posted in sufficient time to ensure it is delivered to PGR & Ops on or before the maximum time limit for submission

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[1] Candidates are strongly advised not to arrive at the Student Services Centre any later than 4.30pm.

Number of copies

One copy of the thesis must be provided for each examiner. At least two copies of the thesis must be submitted **but additional copies of bound theses will be required if there are more than two examiners**. A further copy of the thesis (which may be unbound) should be brought to the oral examination for your own use. You are asked to discuss with your supervisor whether any further copies are required.

eThesis submission at the examination stage

If you are a doctoral degree student and you started your studies on or after September 2009 you must provide with each copy of the printed thesis an exact copy of the thesis in PDF format for each examiner (preferably on a CD in a pocket at the back of the thesis but USB and other midea is accepted). If you started your studies before September 2009 you are strongly encouraged to include a PDF copy with the printed thesis.

Checklist: for the submission of the thesis for examination

- 2 soft bound copies of your thesis (additional copies of the thesis will be required if there are more than 2 examiners).

- A completed Thesis Submission Receipt (Statement of Academic Integrity) – either downloaded in advance or provided by the counter staff at the time of submission.

- Loose copies of any solely or jointly authored publications (one copy of the publication should be provided per examiner).

- A PDF eThesis copy of the thesis for each examiner if you commenced doctoral study from September 2009.

Thesis Dispatch to the Examiners

Your thesis will be sent out to your Examiners normally within 2 working days providing that your thesis meets the University's requirements and your examination entry form has been approved by the Examinations Group. PGR & Ops will send you an email to your University email account to confirm that your thesis has been sent out and will include advice about the next stages of the process. Your internal examiner is responsible for making the arrangements for the oral examination.

9.5.1 Alternative forms of submission

9.5.2 Practice-led research degrees

Alternative forms of PhD and MPhil submission for practice-led research projects have been approved in the Schools of Music, Media and Communication, English, Design, Performance and Cultural Industries and Fine Art, History of Art and Cultural Studies, and at York St John University.

Where students have been accepted for study towards one of these alternative forms of submission, students should ensure they are fully aware of the submission requirements for these degrees.

Further advice on the requirements for examination entry, format of the practice for assessment (including the recording and archiving requirements of any live practice) are provided atin the Faculty protocol

Doctoral thesis including published material (Faculty of Environment only)

This model of submission is currently only available to candidates registered in the Faculty of Environment

The University has approved arrangements - in the Faculty of Environment only - for an alternative style of doctoral thesis to be submitted which includes published material alongside a written

commentary. Under this protocol, published material can be included in the thesis without the need for the work to be rewritten and integrated into individual chapters of the thesis. This alternative style of doctoral thesis is subject to the same examination process as a traditional, chapter style thesis and assessed against the same criteria/learning outcomes including the volume and quality of original research.

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. Please consult the Faculty of Environment protocol for the submission of an alternative style of doctoral thesis including published material.

In Faculties where an alternative style of doctoral thesis is not offered, any published material may be used to form a chapter of a thesis but must be rewritten and integrated within the thesis as a whole – in accordance with the Guidelines on the Use of Solely or Jointly-Authored Publications within a Thesis Submission.

9.5.3 Use of University facilities whilst awaiting oral examination

All research students awaiting examination are permitted to use the University facilities for a period of up to 6 months from the date of submission without charge. This will ensure that students are able to make use of University facilities whilst preparing for the examination and also for a short period afterwards when some students are required to make corrections to the thesis. It will also assist with preparation of papers for publication. Arrangements are made at the time of thesis submission and students can obtain a new student ID card. Once a student's name has appeared on a Pass List the student card will no longer be valid for use.

9.5.4 Arrangements for the oral examination

Introduction

All students are required to submit for an oral examination also known as a viva. The oral examination is an important part of the examination process. The purpose of the oral examination is to ensure that the work submitted for examination reaches the University standards for the degree, that you have written the work submitted and that you understand the work you have submitted. The oral examination also gives you the opportunity to answer questions in areas where the Examiners are not satisfied. Where the evidence in the thesis is not compelling, the Examiners may use the oral examination to encourage you to provide convincing evidence that the stated criteria can be met. The University does not have specific regulations regarding the length of the oral examination or what should be discussed except that the thesis should be discussed with you. Some Examiners will also wish to satisfy themselves of your general level of understanding of the subject area.

A copy of the thesis (which may be unbound) should be brought to the oral examination for your own use. Unless required for the purposes of a presentation/demonstration by the student, the use of electronic 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 your own work. This could include a short presentation to the examiners at the start of the oral examination.

Arranging the oral examination

Detailed arrangements for the oral examination, which is normally held in the parent school, are made by the Internal Examiner[1]. The examination must be conducted in English[2].

You may invite one of your supervisors to attend the oral examination as an observer. Your supervisor may only attend with your prior permission and must respect your wishes on this matter. If attending as an observer, your supervisor may not participate in the oral examination and takes no part in the academic judgement and the decision making process. S/he must leave the room after the oral examination (along with you) so the examiners can discuss their recommendation. The examiners may ask the supervisor to leave the examination if they believe their presence may jeopardise the smooth running or integrity of the oral examination.

Those present at the oral examination will be the student, the external examiner(s), the internal examiner(s), the independent chair (if appointed) and the supervisor (as an observer if it is decided that they should be present). If you have more than one supervisor, only one supervisor is permitted to attend the oral examination. If they are not going to be 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).

Timescales for the oral examination

The University requires the candidate to be in attendance in person for the oral examination. It is expected that you will present for the oral examination which will normally be scheduled within 3 months of dispatch of the thesis to the Examiners (6 months in the case of MD candidates). Candidates must make all reasonable efforts to attend for the oral examination in this 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 you from attending for the oral examination in this period please contact your Postgraduate Research Tutor at the earliest opportunity.

No award of a research degree can be considered unless the oral examination is completed. If circumstances arise which prevent you from attending your oral examination you must provide a valid reason supported by documentary evidence (for example a medical note in the case of illness). Cases will be considered by the Graduate Board's Examinations Group. If you are able to provide a substantiated valid reason for your unavailability/absence permission may be given to delay, postpone or reschedule an oral examination. However, if you are unable to provide a substantiated valid reason, this may result in you being withdrawn from the University with no further opportunity to complete the oral examination.

No research degree student will normally be granted a period of postponement to the oral examination of more than 12 months from the date the thesis is sent out to the examiners (15 months in the case of MD). Bearing in mind that examiners may become unavailable for various reasons, and a topic, once original may not remain so indefinitely, it is extremely unlikely that a request for a postponement to the oral examination exceeding these periods will be granted.

Candidates must bear in mind that the examination of theses can take some time. **You should plan for a period of around 6 months from the date of submission**. Your thesis will be sent out to your Examiners normally within 2 working days of submission, providing that your thesis meets the University's requirements and your examination entry form has been approved by the Examinations

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

[2] 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

Group[1]. Once the examiners have received your thesis they are asked to accept a timescale of 3 months in which to complete the oral examination. If you are successful in the examination, there could be a further period after this when you will be required to undertake minor corrections to the thesis (up to 12 weeks).

If you are studying on a Tier 4 visa, and your oral examination is scheduled outside of 3 months from submission of your thesis, the University may not be able to continue to sponsor you to remain in the UK whilst you are 'awaiting examination'. In this instance you should contact the International Student Office for advice.

9.5.5 Examination results

You will be given one of the recommendations:

(a)   Pass

(b)   Pass (subject to the correction of 'editorial and presentational corrections

(c)   Pass subject to the correction of 'minor deficiencies'

(d)   Referral: for resubmission and re-examination:

(e)   Fail: The candidate has no further opportunity for submission for the degree

For candidates submitting for PhD, the following recommendations are also available:

(f)   Award of MPhil[2]: (in these circumstances the degree of MPhil may not be awarded with distinction)

(g)   Award of MPhil[2] (subject to the correction of 'editorial and presentational corrections' or 'minor deficiencies' as above)

(h)   Referral for resubmission for MPhil:the candidate is required to revise the thesis and resubmit this for re-examination for the degree of Master of Philosophy

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 by the examiners for a letter recognising this outstanding achievement to be sent to the student 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. In some cases the Examinations Group may request additional information or clarification of the *Examiners' Report* from the Examiners.

After the joint report and recommendation of the examiners has been approved by the Examinations Group a copy will be sent to you and your supervisor. This will be sent to your University email

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[1] If PGR & Operations has only recently received your examination entry form (or your form has not yet been received) there will be a delay in sending your thesis out for examination which may delay the arrangements for your viva.

2 For 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.

account. You should allow a period of at least 4 weeks from the date of the meeting for your report to be sent. You should not wait for a copy of your report before beginning any corrections to your thesis.

9.6   After the oral examination

Undertaking corrections

After successful examination you should prepare the final version of your thesis by undertaking any editorial and presentational corrections or minor deficiencies 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. You must also ensure that the thesis abstract (summary) remains appropriate. You are advised to consult with your Supervisor(s) throughout this process.

The normal 4 or 12 week period for completion of these amendments begins from the date of the oral examination. The Examiners will provide you with notification of the required corrections. You will not receive formal notification of the recommendation or the required amendments from PGR & Ops and you must begin the required amendments immediately after the oral examination. The 4 or 12 week deadline is the date by which a corrected version of the thesis should be submitted to the internal examiner for checking and approval[1].

If you experience any problems completing and returning the corrections to your internal examiner by the 4/12 week deadline you must draw this promptly to the attention of your supervisor or Postgraduate Research Tutor. In exceptional circumstances the Examinations Group may consider an extension to a correction deadline. Further advice can be found in the policy on suspensions and extensions

Approval of corrections by the Internal Examiner

Once you have completed your corrections you must submit these to your Internal Examiner for checking. To assist in the process of checking and approving the corrections it is strongly recommended that you provide your internal examiner with information outlining what corrections you have made, along with your corrected thesis. This could be in the form of tracked changes or supplied as a separate list. You should check with your internal examiner what format they would prefer.

Once the Internal Examiner has approved the corrections (after consultation with the external examiner if they wish to be consulted) they must send email confirmation to rp_examinations@adm.leeds.ac.uk

At this point the final thesis can be printed and hard bound in accordance with the Guide to the thesis examination process

Any PDF eThesis to be deposited with the University can also be prepared in accordance with the information given in the Guide to the thesis examination process

Submission of the final, hard bound thesis

One copy of the fully corrected hardbound thesis should be submitted to PGR & Ops via the Student Services Centre Counter.

Where the award of the degree was recommended without corrections, the hard bound thesis[2] must be submitted no later than 3 months after the oral examination. In the case of a recommendation of

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[1] The corrected hard bound thesis must then be submitted by no later than 3 months after the internal examiner has approved the corrections.

[2] Doctoral candidates commencing study in or after September 2009 are also required to submit their final thesis in a pdf form (the "eThesis"). The pdf copy must be also submitted within the timescales outlined above.

editorial and presentational corrections or minor deficiencies, the deadline is no later than 3 months after the internal examiner has given approval to the corrections. Some Schools also hold a copy of the final thesis in a local library; in other cases a copy of the thesis is retained by the Supervisor and arrangements for deposit of this copy should be made directly with the appropriate School/Faculty Office.

Deposit of the final eThesis

Students who commenced doctoral study from 01 September 2009 onwards are required to deposit an exact, pdf copy of a final, successful doctoral thesis to be housed in White Rose eTheses Online (WREO) 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. Your thesis id likely to be read more widely and will be immediately available and readily searchable.

The eThesis deposit process must be completed using the online deposit service. Advice on the eThesis deposit process is available in the Guide to the thesis examination process and on the website

MPhil and Mastership by Research students cannot currently deposit their thesis in eThesis format.

Retention of thesis arrangements

As part of the eThesis deposit process you will complete and online version of the *Thesis Deposit Form*. This 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, for example where the thesis includes politically- or commercially-sensitive information or where there is a journal article, monograph or other publication from the thesis pending. Some commercial sponsors may require that restrictions be placed upon access to the thesis. You can restrict access for one, two, three, five or twenty years (in the case of patent pending). After the indicated period both the hard-bound copies and the eThesis will be released. It is your responsibility to contact the University Library before the end of the embargo periods if you wish to extend the period of restriction.

You must discuss the thesis retention arrangements with your supervisor so you know whether to ask the University to embargo your thesis from immediate publication. This could be particularly important if your research has been carried out as part of a research group and you must therefore discuss these matters with your supervisor(s) before you upload your thesis. Publication of an eThesis immediately after award may, in some disciplines, reduce the prospects of the publication of monographs or papers. The advent of digital publications is affecting the approach taken by publishers. Seek advice early from your supervisor(s) – or the intended publisher of your monograph or paper – so you know whether to ask the University to embargo your thesis from publication. Where a publication is likely to emerge from the thesis you should restrict access to your thesis for an appropriate period to allow your work to be published.

If you are not required to provide your thesis in eThesis format a print version of the *Thesis Deposit Form* must be downloaded and completed and submitted to PGR&O with the hard bound thesis.

9.7   Award of the degree and graduation

Publication of Pass List

Pass Lists are published regularly throughout the year in the Student Services Centre foyer. Your name can appear on a pass list once all the following conditions have been met:

* the examiners' report has been approved by the Graduate Board's Examinations Group at one of its meetings;

* PGR & Ops has received confirmation that the internal examiner is satisfied that any corrections required to the thesis have been completed;

- PGR & Ops has received the final, hard bound version of the thesis;

- for students commencing study from September 2009 onwards, a copy of the final thesis in pdf eThesis format has been deposited; all academic fees to the University have been paid;

- where applicable, PGR & Ops has received confirmation that taught or assessed components of the programme of study have been successfully completed.

Once your name has appeared on a pass list PGR & Ops will send you an email (to your University account) confirming the award of your degree has been made and advising about the next steps for graduation etc.

Graduation

You will be required to register your graduation choice (either a ceremony or in absentia) online after you have submitted your thesis for examination. Further instructions will be provided at the time of thesis submission, but can also be found on the graduation pages of the website

Attendance at a degree ceremony is not guaranteed and is subject to the satisfactory award of your degree before the relevant ceremonies.

Important graduation deadlines for PGRs are published on the website.

9.8   Referral

In the case of referral, the student is required to revise the submission, which may entail further research or any other activity required by the examiners and resubmit this for re-examination.

The examiners are required to prepare *Notes for Guidance* which are submitted simultaneously with the *Examiners' Report* for approval by the Graduate Board's Examinations Group. Schools/Examiners are not permitted to issue informal notes for guidance to the student.

The Notes will be issued to the student by PGR & Ops along with a copy of the Examiners' report after scrutiny by the Examinations Group at one of its meetings. In some cases the Examinations Group may request additional information or clarification of the *Notes for Guidance* from the Examiners to ensure that these are clear and unambiguous. Students will be kept informed where this is the case. The *Notes for Guidance* will indicate the necessary and sufficient conditions which, if complied with by the student and providing the thesis as a whole is satisfactory, will lead to a recommendation by the examiners that the degree be awarded. However, the detail given in the notes should not stifle the initiative which the student should demonstrate at this level. The notes are to assist the student in the process of revision and resubmission of the thesis but may not necessarily include specific editorial comment.

Any resubmission must take place within 18 months for a doctoral degree[1], within 15 months for an MPhil and within 9 months for a Mastership by Research. The referral period begins from the date the *Notes for Guidance* are issued following approval by the Examinations Group. These are the maximum time limits for resubmission however you may resubmit at any point in the referral period, once the amendments have been made and the thesis is ready for submission.

In the case of international students who are no longer in the UK, supervision may take place by means other than face to face meetings. Students who wish to register and remain in the UK whilst here on a Tier 4 General Student Visa can do so subject to the approval of their School. Students must continue to follow normal supervision meetings and attend to the satisfaction of their School.

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[1] A referred PhD student may, with the permission of the Head of School, choose to resubmit for MPhil within 12 months from the date of issue of the *Notes for Guidance*.

If the Examiners' recommendation is that the thesis be referred, it is the practice for the original examining team to act again for the resubmission, except in exceptional circumstances. The examiners must not take a supervisory role during the referral period. You must not send your thesis to the examiners for comment before resubmission. However, they may be required to provide clarification of the Notes for Guidance. You should consult with your supervisor in the first instance where clarification of the Notes for Guidance is required. The Supervisor may then, if appropriate, contact the Internal Examiner.

Suspensions and Extension during the referral period

In exceptional circumstances the Examinations Group may consider a request for a student to suspend or extend their resubmission deadline during the referral period. Students must draw promptly to the attention of the supervisor or Postgraduate Research Tutor any situation in which it may be necessary to request a suspension or extension of study. Further advice is given in the policy on suspensions and extensions

Resubmission

The resubmitted thesis is subject to the same process as the first examination and both the Internal and External Examiners will examine the resubmitted thesis. Alongside the resubmitted thesis, students are required to supply a summary of how their revised thesis has responded to changes required by the examiners in the notes for guidance.

Referred students will be sent a letter describing how to submit for re-examination and details of how to pay the fees for resubmission. The resubmission fee is payable once the resubmitted thesis is sent for examination. Students must not send their resubmission direct to the examiners.

A second referral is not possible and the student will either pass (subject in some cases to the correction of editorial and presentational or minor deficiencies) or fail when the examiners consider the revised submission. For students who have resubmitted for the degree of PhD, it is also possible that the examiners may recommend the award of MPhil,which may be subject to the correction of editorial and presentational corrections or minor deficiencies.

Examiners may hold a second oral examination if they deem it appropriate. However, the examiners may not recommend that the resubmission be failed or awarded a lower degree (i.e. award an MPhil on a PhD resubmission) without holding a second oral examination.

9.9   Award Statements

After your name has appeared on a Pass List, if you require evidence of your award you may wish to request a statement.

These are provided free of charge to former research students for the first 3 months after the date on which their name appeared on a pass list (this date can be found on the notification email from PGR & Ops). Students should complete a *Registration Statement Form* which can be completed at the Student Service Counter or by downloading the request form and should be returned by email to rp_examinations @adm.leeds.ac.uk.

If it has been more than 3 months since your name appeared on a pass list, statements are available to buy through the University's online store

Statement requests usually take up to 5 working days to process (please note that if you apply for a statement before your name has appeared on a pass list the 5 working day period will begin from the date of publication of the pass list).

9.10 Diploma supplement and statement

A Diploma Supplement and Statement is issued to research degree students who commenced study on or after 01 September 2003 together with their degree certificates upon graduation (either in absentia or at a degree ceremony in July or December). This document contains academic achievement information accompanied by a description about the level and nature of the award and of the awarding body. A detailed information booklet is provided with the Statement and Supplement.

9.11 Doctorate Extension Scheme CAS

The Doctorate Extension Scheme (DES) allows International doctoral graduates to remain in the UK for a further 12 months after their study to undertake employment.

9.12 Graduate Portal

You will be able to stay in touch with University via the Graduate Portal. For more information about services available and how to access the Graduate Portal see: http://library.leeds.ac.uk/portal

10 Other Useful Information

10.1 Holiday entitlement

Research students may, with prior agreement of their supervisor(s), take up to twenty five days holiday each year as well as the time during which the University is officially closed. The University is normally officially closed for at least 14 days each year (during the Christmas and Easter Periods and Bank Holidays) Closure dates can be found on the University website.

10.2 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 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 project for periods of time equivalent to 20 hours per week. It is inevitable that your work load will be variable during the course of the year and it should be agreed with your supervisor(s). When approaching a specific deadline such as the submission of a transfer report or thesis additional hours of work will be necessary. Research students are encouraged to maintain a good work/life balance

Research students are, as part of their work load, 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.

10.3 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 their supervisor(s) before undertaking any teaching (or the equivalent in professional practice) within the University and discuss whether any teaching undertaken will adversely affect the time available for the conduct of their research, see the University's Code of Practice for PGRs engaged in teaching.

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. Students should note, however, that some sponsoring bodies (including Research Councils, Charities and other Sponsors) may impose a lower limit for paid activities per session.

10.4 Difficulties

If you experience difficulties with your research (including difficulties over supervision) you should discuss them with your supervisor as early as possible. If you are unable to resolve the problem with your supervisor you should seek a discussion with the Faculty Director of Postgraduate Research Studies, Postgraduate Research Tutor and/or the Head of School.

Student Advice Centre

The Student Advice Centre at LUU provides confidential and independent information, support and advice to students contemplating appeals, complaints or other difficulties associated with their research degree arrangements. Offers independent advice on a range of issues including academic, money and other student issues and can help students to identify their options.

Help at Leeds

Help at Leeds covers the A-Z of University issues with useful links.

10.4.1 Formal Complaints

A complaint can be defined as an expression of a specific concern about the provision of a course/module, programme of study, supervision or related academic service. The *Student Complaints Procedure* applies to both research and taught students.

10.4.2 Appeals

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 following Adverse Academic Decisions*

10.4.3 Leaving the University early

You may find it necessary to leave the University either permanently or temporarily before completing your studies. You should first discuss your intentions with your supervisor(s), the Postgraduate Research Tutor or Head of your parent school. If it is agreed that you should leave permanently, you should fill in a Leavers Form, which can be obtained from your school.

Your student identification card must be returned to your school together with the completed *Leavers Form*.

Withdrawal from the University may affect your maintenance grant or scholarship entitlement. It is sensible, therefore, to contact your sponsor if you are considering permanently withdrawing or temporarily suspending your studies to find out how it might affect your position. If you would like advice about the implications of leaving the University permanently, or temporarily suspending your studies, you should initially contact your parent School.

Please note the University is required to report international students on a Tier 4 General Student Visa who leave or suspend to UK Visas and Immigration.

10.5 Immediate temporary dismissal associated with ill health

Where it is judged by a Faculty/School/Institute 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 relating to duty of care, the School can request that the student be declared medically unfit to continue their programme of study. A report will be made to Secretariat[1]. 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.

10.6 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, they 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.

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(s) after the commencement of study, the member of staff is required to declare it to their 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, they are required to declare the relationship to the Chair of the Graduate Board who will make alternative supervision arrangements.

The Graduate Board has provided examples of what might constitute a close personal relationship as partners, spouses and close family relationships such as brothers, sisters, cousins or children.

10.7 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 via the Equality website.

10.8 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.

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[1] The Head of Student Complaints and Appeals

Further information on the University policy on support for students who are parents or carers is available via the Equality website.

10.9 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.

10.10 Leeds University Union

LUU is a not for profit organisation; any profit made from commercial operations is reinvested into providing services for student members. LUU operates a range of shops, bars, and a cafe as well as nightclubs and special events. Events and services are developed in response to student need so if you can't find the right thing for you, get in touch.

A Students' Union exists to represent students to the University, the media, outside organisations and to provide key services. Leeds University Union (LUU) is a vibrant social hub at the heart of campus, offering a range of exclusive facilities and services to its members. It is led by six full-time Student Executive Officers who are elected annually by students.

Research students automatically become a member of LUU upon registering with the University. LUU represents student views to the University and works with them to make positive changes for all of its members. Through an effective democratic and representational system, all students have the chance to make their voice heard, through School Reps, Halls Reps or Community Reps. The Union holds 'Better Forums' every term, where students have an opportunity to suggest ideas of how to improve the Union, the University or the City. Ideas passed at these "Better" forums become policy and are mandated to be acted upon by the six Student Executives.

The Union offers a wide range of facilities to help students get exactly what they want from their time at University. Help and guidance is free to all students through the Student Advice Centre, and there are opportunities to meet new people through the 300 clubs and societies, ranging from faith and culture groups to sports clubs, volunteering and departmental to name a few. Other activity includes award winning student media outlets and a student employment service. Find out more about these opportunities and the range of services offered to students by going to www.leedsuniversityunion.org.uk

The Union also supports the Leeds University Union Postgraduate Society (LUUP) which welcomes all postgraduates, new and returning, from across the university. The society organises social events and networking opportunities for postgraduates, to help welcome, support and represent students during their studies. It's a fantastic way to meet fellow postgraduate students and membership is open to all students at the university, from mature students to those with families, more information can be found by emailing contact.luup@gmail.com , joining their facebook group https://www.facebook.com/groups/LUUpgSoc/ or via their webpage: http://www.luu.org.uk/groups/LUUP/

10.11 Careers Centre

The Careers Centre offers guidance and support for issues which are specific to researchers and postgraduate students including:

Planning a career in academia

Deciding what to do after the degree or research

What the job market looks like for researchers

Destinations of previous postgraduate students

Links to specialist websites and downloads to help plan your future

11 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.

11.1 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

11.2 Progress and Monitoring

- Attendance monitoring guidance (for Research Students)
- Suspensions/Extensions of Study – policy
- Students enrolling on taught modules

11.3 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

11.4 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)

11.5 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

11.6 Staff undertaking PhDs

- Part-time research degrees for Leeds staff

11.7 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

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.

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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

3.1 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 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.

3.2 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 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.

3.4 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 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

4.1 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 student receives a formal offer of 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).

4.3   The responsibilities of a supervisor may be summarised as follows:

(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 .

4.4   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 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.

4.6   Students have responsibilities as follows:

(i)   To reach agreement with the supervisor on an appropriate training plan;

(ii)   to carry out research effectively, to attend the University, to present work regularly and to an adequate standard in an appropriate form and against an agreed timescale taking into account any holiday entitlement;

(iii)   to prepare issues they wish to discuss at supervision meetings and to seek out the supervisor as problems arise;

(iv)   to agree to a supervisory programme, to maintain regular contact with their supervisor(s) and to attend for formal supervision meetings;

(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.

4.7   Students are encouraged to keep Personal Development Plans.

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

4.9   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. 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

5.1   There are 2 main models of supervision :

Model 1:   Co-supervision

Either (a) one main supervisor together with a Research Support Group of between 2-3 (which may include individuals from outside the School or external to the University); the Research Support Group is advised to meet with the 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.

5.2 Whatever model of supervision is adopted there should be a procedure in place for offering 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.

5.3 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

6.1 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.

6.2 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.

6.3   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 student's progress. In all cases the student 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 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.

6.5   The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see 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)

7.1   The Faculty Director of Postgraduate Research Studies or Heads of Schools, as appropriate (see 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.

7.2   Students should make use of the University [Complaints Procedure](#) (which is published on the University website) if they are dissatisfied with any aspect of their supervision or with facilities available for their research. They should be encouraged first to consult the supervisor or the Postgraduate Research Tutor and, after the outcome of that consultation, to make use of the University Complaints Procedure, where appropriate.

7.3   The University has in place a [procedure](#) governing the consideration of postgraduate research student appeals (which is published on the University website.

7.4   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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