# University Code of Practice for Research Degree Candidatures

# 2024-2025

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<u>**Abbreviations**</u>

| | |
|---|---|
| APR | Annual Progress Review |
| DPGRS | Directors of Postgraduate Research Studies |
| GRAD | Graduate Record of Achievement and Development system |
| FFPR | First Formal Progress Review |
| LUU | Leeds University Union |
| ORCID | Open Researcher and Contributor IDentifier |
| PGR | Postgraduate Researcher |
| PSP | Progress Support Process |

**University Code of Practice for Research Degree Candidatures
(with effect from session 2024-25)**

This Code of Practice sets out the University requirements covering school, faculty and supervisor responsibilities in relation to research degree study at the University of Leeds. The Code of Practice should be read in conjunction with other PGR-related documents such as the General Regulations for Research Degrees, the PGR Handbook and the University's Admissions Policy.

Executive Deans of Faculties are responsible for the provision of the resources to implement the University Code of Practice. Where Faculty practices differ from University-wide norms this is outlined in the Annex to the Code. Faculties must ensure that the University Code and Annex are made available to PGRs and academic staff.

# 1.    Introduction

Postgraduate Researchers (PGRs) are an essential part of the research activity at Leeds. This Code sets out a framework of shared responsibilities between the University, supervisors and PGRs with the aim of delivering successful research degree programmes according to national and international expectations and to inspire all our PGRs to develop their full potential.

# 2.  Admissions

2.1  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 and are specified in full in the University Admissions Policy approved by the PGR Recruitment Group.

# 3.    Management Structure and Responsibilities

3.1    The Dean of the Leeds Doctoral College maintains strategic oversight of the PGR experience. The Dean works through the Graduate Board to develop policies that maintain and assure the academic standards of research degree awards. Through the support of the Graduate Board the Dean also works to deliver the PGR Strategic Vision that ensures the continuing enhancement of the experience of PGRs. The Dean of the Leeds Doctoral College also works with the appointed Heads of Faculty Graduate Schools to deliver these strategic aims across the Doctoral College and the University.

**Executive Deans of Faculty**

3.2  Executive Deans may delegate responsibilities for PGR matters to the appropriate individuals within their Faculty. For example this could be Heads of School or Directors of PGR Studies or the Head of the Faculty Graduate School or to other appropriate units within the Faculty. These responsibilities may be summarised as follows (see note 1).:

- to ensure that an adequate management structure and procedures are in place for handling postgraduate research matters;
- the delegation, where relevant, of responsibilities for postgraduate matters to appropriate individuals (for example Heads of School or Directors of PGR Studies);
- to ensure that minimum standards of facilities are available to PGRs
- 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 ensure that a comprehensive record of the research degree candidature of all PGRs is maintained;
- to ensure that PGRs are represented on relevant Faculty and School committees.

## Graduate Schools

3.3    Each Faculty has a Graduate School, the role of which is to maintain  oversight of administrative and academic support for postgraduate researchers. The strategic lead is the Head of the Graduate School who chairs the Faculty Graduate School Committee and which includes amongst its membership the Director of Postgraduate Research  Studies (DPGRS) from each School in the faculty.   There must be a DPGRS in each School who leads on Postgraduate Research matters and who will sit on the School executive committee thereby providing the link between PGR matters  and school discussions and developments.

## Head of School

3.4    It is the responsibility of the Head of the School (see note 2) to recommend suitable supervisors for appointment by the Graduate Board. This may in some cases be delegated to the DPGRs for the School.

3.5    In circumstances where supervisors leave the University the Head of School (see note 2) must satisfy themselves that alternative and acceptable supervision arrangements are recommended to the Graduate Board.

3.6    Where the supervisor is likely to be absent from the University for an extended period, the Head of School (see note 2) must ensure that appropriate arrangements are made for advising the PGR and that the progress of a PGR is not detrimentally affected by the absence of the supervisor. Where the absence exceeds two months, arrangements will normally be put in place to identify an alternative supervisor or co-supervisor to ensure the continuity of supervision is maintained.

## Director of PGR Studies (DPGRS)

3.7    The appointment of the Director of PGR Studies comes as a recommendation by the relevant Head of School to the Faculty Graduate School Committee with the appointment being confirmed by the Graduate Board. The Head of the relevant Graduate School is consulted on this and is directly involved in the recruitment process.  The Director of PGR Studies (subject to the overall responsibility of the Head of the Faculty Graduate School and the Head of  School) has general responsibility for:
- co-ordinating admissions,
- pastoral care,
- recording and monitoring of progress,

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- engagement and attendance of PGRs (with absence being recorded)
- liaison with the Doctoral College

3.8     Deputy Directors of PGR Studies  may also be appointed to share responsibilities, particularly when there is a large cohort of PGRs in a school (ie more than 50 PGRs).  A Deputy DPGRS is also a member of the Faculty Graduate School Committee.

3.9     Schools must implement a clear and effective method for report and discussion of individual matters and matters of policy relating to PGRs whether via a School Postgraduate Research Committee, via the Faculty Graduate School Committee directly, or by some other clearly defined route.


# 4. Responsibilities of PGRs and Supervisors

## A PGR's responsibilities are summarised as follows:

### *Supervision and Research*

i.      to carry out research effectively, to attend the University[1], to present work regularly and to an adequate standard in an appropriate form and against an agreed timescale taking into account any holiday entitlement;

ii.     In discussion with your  Supervisory Team you will complete the **PGR – Supervisor Agreement**[2]. This will be within first month of study in year one. Completion of the agreement is a requirement and the document should be reviewed regularly, in conjunction with the training plan and annual progress reviews. The Agreement will be  reviewed at the First Formal Progress and at Transfer, and then as part of the annual progress review in following years. It should also be reviewed following any changes to the supervisory team.

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

iv.     to agree to a supervisory programme, to maintain regular contact with their supervisor(s) and to attend for formal supervision meetings throughout the programme of study (including the overtime period) (see sections 5.6, 5.7 and 5.8 below);

v.      to submit, when requested, regular written summaries of overall progress to their supervisors;

vi.     to promptly draw to the attention of the supervisor or Director of PGR Studies 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);

vii.    to discuss with the supervisor, in good time where possible, should they wish to be away from their research activity (eg in the case of holidays and authorised absence);

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[1] Unless on a prescribed research degree which does not include an expectation that  attendance at the University is a requirement of the programme.

[2] The PGR – Supervisor Agreement  is compulsory for new starters from Session 2023-24 .  The completion of the PGR-Supervisor Agreement is strongly recommended for all registered PGRs  with a particular recommendation that that this is put in place if  there is a change to the Supervisory Team for a registered PGR.

viii.    to make available to the supervisor for comment, within an agreed timescale, the whole of the draft thesis prior to submission

ix.    to commit to research activity in accordance with the University's expectations (see note 5).

### *Training and Development*

x.    to reach agreement with the supervisor on an appropriate training plan and complete a Training Needs Analysis by month 3 which is lodged in the Graduate Record of Achievement and Development system (GRAD) ;

xi.    to take measures to attend appropriate training including induction, personal development programmes and research seminars in consultation with their supervisor;

xii.    to discuss with their supervisor whether any teaching or other paid work undertaken will adversely affect the time available for the conduct of the research and make appropriate arrangements;

xiii.    to obtain an ORCID identifier

xiv.    PGRs are encouraged to keep Professional Development Plans.

### *Registration and the Academic (GRAD) Record*

xv.    to engage with the University's system for maintaining a record of the research degree candidature (Graduate Record of Achievement and Development (GRAD)). This includes ensuring, in partnership with the supervisor, there are written records of formal supervision meetings;

xvi.    to ensure that any absences for study are requested through one of the recognised routes: annual leave, authorised absence, suspension of study.

xvii.    to ensure that they complete registration and make payment of fees at the appropriate times;

xviii.    to assist the University in keeping their personal record up to date by cooperating fully with administrative procedures;

### *Welfare*

xix.    to consult with the Director of PGR Studies or other appropriate senior member of staff in confidence, if they have serious concerns about the PGR/supervisor relationship;

### *Data Management, Ethics and Trusted Research*

xx.    to comply with any ethical requirements or appropriate Research Governance;

xxi.     to comply with the University's Policies  on [Safeguarding Data, Storage, Backup and Encryption](#) and complete the required training;

xxii.     to comply with the requirements of the University [Publication](#) and [Research Data Management](#) policies, noting that these will also apply to publications in press at the time the PGR leaves the University and to any associated data.  This includes the creation of a Data Management Plan and deposition of data and research materials with the School or trusted data repository at the end of the research project;

xxiii.    To comply with the requirements  in relation requirements to Trusted Research when engaging in research

### *Follow Regulations and Policies*

xxiv.    to be familiar with the [regulations](#) and [procedures](#) of the University relevant to research degree candidatures and to comply with them;

to ensure that at all times they observe high standards of academic conduct and [research integrity](#), including completing the required academic and research integrity training, and are aware of the consequences of failure to observe the University's requirements;

xxv.     Adhere to any funder terms and conditions;

### *Facilities and Health and Safety*

xxvi.    to comply with normal working arrangements in the School;

xxvii.   to comply with Health and Safety requirements, including the completion of a risk assessment ahead of any fieldwork or placement / internship, in accordance with Faculty requirements;

xxviii.  to make use of relevant facilities provided by the University and abide by the regulations specified for the use of these facilities;

## A Supervisor's responsibilities are summarised as follows:

It is the responsibility of the Head of the School (see note 2) to recommend suitable  supervisors for appointment by the Graduate Board.

### *Supervision and Research*

(i)      assisting the PGR in defining the topic which is to be tackled in the course of the research. It is vital that this should give sufficient scope for investigation appropriate to the degree, but not be so large a topic that it cannot be mastered within the normal period of the candidature. Where the research is sponsored by an outside body, the terms of such sponsorship should be carefully considered;

(ii)     assisting the PGR to clarify the research question which the study seeks to address, and to establish details of the research programme, such as resources required and, where appropriate, the experimental design;

(iii)     In discussion with your  the PGR  you will complete the **PGR – Supervisor Agreement**[3]. This will be within first month of study in year one. Completion of the agreement   is a requirement and the document should be reviewed regularly, in conjunction with the training plan and annual progress reviews. The Agreement will be  reviewed at the First   Formal Progress and at Transfer, and then as part of the annual progress review in following years. It should also be reviewed following any changes to the supervisory team.

(iiii)    approving a timetable of work and endeavouring to see that it is followed. Supervisors should emphasise to PGRs that the University attaches great importance to the timely completion of research;

(v)       where the programme contains subject-specific modules, directing the PGR through the relevant programme of courses;

(vi)      agreeing a supervisory programme with the PGR and arranging regular meetings with the PGR throughout the programme of study (including the overtime period, and referral period) (see sections 5.6, 5.7 and 5.8 below);

(vii)     commenting within a reasonable time on written work submitted by the PGR;

(viii)    preparing regular reports on the PGR's progress (See 7.1 below)

(ix)      ensuring that, where appropriate, the PGR is aware of arrangements for reviewing transfer to full degree registration and that appropriate guidance on preparing for transfer is provided;

(x)       ensuring that arrangements are made for the transfer review within the prescribed timescale for the programme of study and nominating individuals for approval by the DPGRS to serve on the transfer panel ;

(xxi)     ensuring that the PGR receives written feedback on the assessment of progress and drawing to their attention problems when they arise;

(xii)     advising generally on the research and preparation of the thesis;

(xiii)    bringing to the attention of the Director of PGR Studies any concerns about a PGR's unsatisfactory progress and, where appropriate, engaging with the Progress Support Process .

(xiv)     reporting to the Director of PGR Studies any suspected instance of academic or research misconduct including plagiarism or any other breaches of policy or misconduct such Health and Safety, Research Ethics, Research Conduct, Data etc;

(xv)      ensuring that the PGR is aware of the University arrangements for the examination of research degree theses;  and the time limits for submission and ensuring that the PGR receives appropriate guidance about the oral examination including, where requested, a "mock viva";

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[3] The PGR – Supervisor Agreement  is <u>compulsory</u> for new starters from Session 2023-24 .  The completion of the PGR-Supervisor Agreement is strongly recommended for all registered PGRs  with a particular recommendation that that this is put in place if  there is a change to the Supervisory Team for a registered PGR.

(xvi)    sending forward recommendations for the appointment of Examiners to the Director of PGR Studies;

(xvii)   reading and commenting on the whole of the draft thesis prior to submission provided that it is made available by the PGR in reasonable time.  It is essential that a timetable for submission of the draft thesis is agreed with the PGR in advance of the maximum time limit which allows the supervisor a reasonable length of time to carry out this duty and for the PGR to act on any comments received.  Any planned periods of absence by the supervisor from the University should be taken into account; (See note 4)

(xviii)  keeping the Head of School informed of any absences likely to impact upon time available for supervisory duties;

(xix)    fulfilling  any formal requirements from formal bodies or PGR sponsors are met during the candidature including  any formal reports from sponsors.


### Training and Development

(xx)     conducting, with the PGR, a training needs analysis within three months of commencement of study and agreeing a training plan;

(xxi)    reviewing the training plan regularly (at least annually) and assisting the PGR in identifying other training needs and in reflecting upon their personal development, for instance by reference to the Statement on Learning Outcomes;

(xxii)   seeking to ensure that the PGR receives available research training (e.g. by attendance at courses) which may be necessary or appropriate in the individual case;

(xxiii)  ensuring that the PGR is aware of the requirement to obtain an ORCID identifier;

(xxiv)   With the support of the Head of School and DPGRs, strongly encouraged to make provision for PGRs to present their work regularly at seminars involving staff and other PGRs.


### Registration and Academic GRAD  Record

(xxv)    engaging with the University's system for maintaining a record of the research degree candidature (Graduate Record of Achievement and Development (GRAD)).  This includes ensuring in partnership with the PGR, that there are written records of formal supervision meetings;

(xxvi)   ensure that any absences for study are requested through one of the recognised routes: annual leave, authorised absence, suspension of study.


### Welfare

(xxvi)   alerting the Director of PGR Studies, in a timely manner, to any situation where it may become necessary to request a suspension or extension of study for a PGR;

(xxvii)   reporting to the Director of PGR Studies when for an individual PGR there has been a change of study location, no contact  or when there has been a pattern of absences which is affecting the PGR's progress or causing concern for the PGR's well-being in accordance with the University's attendance and engagement monitoring policy;

### *Data Management,  Ethics and  Trusted Research*

(xxviii)  making PGRs aware of any relevant Research Governance requirements and ethical procedures and ethical review and undertake the required training;

(xxix)   making PGRs aware of the University's policies on data storage, backup and encryption

(xxii)   ensuring that the PGR is aware of the University Publication and Research Data Management policies.  Ensuring that the PGR  knows that this also includes the creation of a Data Management Plan and deposition of data and research materials with the School or trusted data repository at the end of the research project.  In addition, that these apply to publications in press at the time the PGR leaves the University;

(xxiii)  Ensuring the PGR is aware of any regulatory requirements and actions to be taken  in relation to Trusted Research when engaging in research

### *Facilities and Health and Safety*

(xxx)    ensuring, in consultation with the Head of School (see note 2), that the PGR has access to the necessary facilities for the research;

(xxi)    ensuring that the PGR is introduced to the facilities of the Faculty or School and the University that are relevant to the research and that they are fully aware of relevant Health and Safety regulations;

(xxxii)  ensuring that a risk assessment is conducted by the PGR ahead of any fieldwork or placement/internship  undertaken for their studies;

## 5.    Supervision

5.1 Supervisors will be appointed at the time that a PGR receives a formal offer of admission by the University[4].    The model of supervision adopted for a particular PGR must satisfy the University's eligibility criteria for appointment.  The supervisory arrangements may change during the period of study.  A co-supervision model is expected, with one supervisor identified as the main supervisor. In exceptional cases, where only one supervisor is appointed, this must be approved by the Head of the relevant Faculty Graduate School and the PGR Programmes and Quality Group.  In such cases an Advisor will also be appointed by the Head of School (see note 2).

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[4] Final confirmation of supervisory arrangements for some CDT research projects and Doctor of Clinical Psychology projects may occur after the formal offer of admission.

[Model of supervision](#)[5]:

5.2 The University operates a  co-supervision model as the norm for all PGRS, with a named supervisory team that  follows either

  (a) One supervisor identified as the main supervisor with additional supervisor(s) named as co-supervisor(s). On occasions this may be a supervisor who may be external to the University.  PGRs registered for a Dual PhD or Split Site PhD will have 2 Leeds supervisors in addition to a supervisor from the partner institution.

  or

  (b) one main supervisor together with a Research Support Group of between 2-3 (which may include individuals from outside the School or external to the University); the Research Support Group is advised to meet with the PGR every 6 months to review progress and to discuss this with the PGR.

5.3 It is the responsibility of the Head of School (see note 2) to ensure that no supervisor is overloaded with supervisory  responsibilities and the position of individual members of staff should be reviewed regularly (see note 3)

5.4  All those appointed as supervisors must meet the [criteria](#) specified by the University [as set out in the Supervisor Eligibilty policy](#) .  Each supervisor must also  have undertaken appropriate training. Supervisor workload is monitored through the periodic review process and it is the responsibility of Graduate Board to monitor this annually though the PGR Programmes and Quality Group.

*Exceptional Arrangements if a supervisor is unavailable for a significant period of time*
5.5  A supervisory team is set up with the intention that it will remain in place throughout the research degree candidature. In some cases, however, the supervisory team may need to change, for example where a supervisor leaves the University[6], or where a supervisor is on a period of long-term leave. In such cases it is possible that there will be a period of time when there is 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. Such an arrangement will be formally approved for the necessary period of time by the Head of the Graduate School and the PGR Progression and Examination Group. (see note 2).

*Number of supervisions each year*
5.6 The requirement is that a full-time PGR will have a minimum of 10 supervision meetings (see Notes 6 and 7) a year.  The relevant number for part-time (0.6 FTE) PGRs is 6 a year, and for part time (0.75 FTE)  is 8 a year[7]. This requirement continues until the PGR has submitted their thesis which includes the overtime period. Whilst the pattern and timing of meetings will vary according to the precise stage of the candidature and between subject areas it is expected that meetings will be held regularly throughout the standard period of study with gaps between meetings of no more than 8 weeks for full-time PGRs (or 12 weeks for part-time (0.6 FTE) or 10 weeks for part-time (0.75 FTE PGRs). Notes must be kept of all formal supervision meetings in GRAD. It is expected that

formal supervision meetings will normally take place in person.  Formal supervisory contact may take place by other means (eg video streaming, MS Teams or other similar software

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[5] See Eligibility for Research Supervisors
[6] in some cases they may continue as external supervisor
[7] Part-time 0.75 FTE is only available to identified programmes in the Faculty of Medicine and Health. For other faculties 0.6 FTE is the only part time model available.

package when a PGR (or Supervisor) is away from the University including during periods of fieldwork, or for PGRs on split-site, distance-learning or other collaborative programmes.  Online supervision meetings should not be considered a routine alternative to in-person meetings, except where a PGR (or Supervisor) is away from the University as described above or if agreed as part of any reasonable adjustment. Email does not count as a suitable method by which supervisory sessions can take place. The only exception to this is when a PGR is on fieldwork and communication links are limited and emails ensure that supervision can still take place.

*The Overtime Period and supervisions*
5.7      In order to keep the research on course for submission before the maximum time limit, it is required that supervisory contact will continue during any overtime period after the end of the standard period of study and that the supervisor will continue to monitor progress.

5.8      In this overtime period,  the University appreciates that supervision meetings may be in the format of reading and commenting on draft chapters of the thesis prior to submission.  Full-time PGRs will continue to be entitled to no fewer than 10 supervision meetings a year (and part-time candidates no fewer than 6 a year).  **A written record of these meetings must be kept in GRAD**.

*PGR in a Referral Period following a first  submission of the thesis*
5.9       Supervisions continue during any Referral Period and the PGR is entitled to 6 supervision meetings a year during this period. The precise nature, pattern, timing and format of supervisions will vary depending on the stage of the resubmission, and the extent and nature of the work required for resubmission.

# 6.  Annual Meetings with the Director of PGR Studies
6.1      Along with the usual supervisory requirements for frequent meetings  there should be arrangements in place offering PGRs the opportunity to meet with the Director of PGR Studies or Head of School, at least annually,  in the absence of the supervisors, to review progress, discuss this with the PGR and to enable the PGR to comment upon the nature of the supervision received and to draw attention to any matters of concern.   Where the Director of PGR Studies/Head of School is the supervisor an appropriate nominee should be appointed.

6.2 There should be a mechanism in place within the School/Faculty, which is clearly publicised, to enable PGRs to seek independent sources of advice when a PGR/supervisor relationship is not working well.

# 7.  Formal assessment and monitoring : FFPR, Transfer and APR

7.1  A PGR's progress will be monitored formally at regular intervals during the candidature

### FFPR
7.2  As a minimum there must be a report by the supervisor at the mid-point of the first year of the candidature, the First Formal Progress Review [FFPR] (see note 8) and at the transfer stage.

### APR
7.3      Annually, thereafter, there must be a meeting to review progress and a report of the meeting submitted.  There are two models for the Annual Progress Review meeting.  **Model A** which

involves a meeting between the PGR, supervisor and an individual independent of the supervisory team and **Model B** which involves a meeting between the PGR and their supervisor with independent oversight of the report arising from the meeting by a committee or equivalent body. Whichever model is adopted by the Faculty a summary of annual review reports must be considered by the Faculty Graduate School Committee.

7.4     Where PGRs are not progressing or engaging as expected, the Progress Support Process (PSP) should be instigated to ensure that the PGRs is informed of the risk to their academic progress and support identified. Under the procedure the PGR will be interviewed, normally by the Director of PGR Studies and the supervisor, and specific instructions and objectives given.  Where academic engagement or progress concerns are judged to be sufficiently serious or prolonged, and/or there are concerns that the PGR may be at risk of not successfully completing their degree, the process can lead to a more formal review stage with the possibility of withdrawal or transfer to a lower degree. The PGR must be advised that failure to meet requirements may lead to a recommendation for withdrawal or transfer to a lower degree.

### *The Transfer Process*
7.5     Research degree candidatures which are intended to lead to a Doctoral award are subject to a process whereby the PGR is formally assessed and, if successful in the assessment, is 'transferred' to a specific degree category after an initial, provisional stage. The assessment at the 'transfer' stage is intended to identify whether the individual PGR and the research project have the potential for research at Doctoral level and also whether completion of a thesis within the standard period of study for the programme concerned is a reasonable expectation.

7.6      PGRs are required to submit transfer reports within a time scale prescribed by the Faculty. 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. This is also noted on the PGR's own GRAD record. The PGR Turnitin Screening Process Guidance for Schools (PDF) sets out the process agreed by Graduate Board and the Progression and Examinations Group for the screening of PGR assessed work.

7.7     Panels are responsible for making the decision on transfer and must comprise a minimum of two individuals[8] who are independent of the supervisory team.

7.8     The decision on transfer should be based on evidence as prescribed by the Faculty and must include the agreed training plan, record of training and information about skills development, ethical issues with the research and progress reports by the supervisor(s) and a Data Management Plan[9].  The PGR must provide a written submission which will include a planned schedule for the work and might also include a synopsis of the work already carried out, a sample chapter and other written or experimental work. The PGR must be interviewed by the Panel and this should take the form of a viva voce examination.  The Supervision Agreement will be considered at the Transfer stage to ensure that it remains current.

7.9     Supervisors may attend the viva voce examination and participate in the discussion with the PGR.  They may feedback their views to the Panel but do not take part in the decision making process.

7.10    The decisions that may be made by transfer panels are:

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[8] For those PGRs commencing study from 01 September 2018
[9] For those PGRs commencing study from 01 September 2019

(i)     in the case of Provisional candidatures for Doctoral degrees or Postgraduate Research candidatures, transfer to Doctoral registration;

(ii)    in the case of Provisional candidatures for the degree of PhD or Postgraduate Research candidatures, transfer to M Phil registration;

(iii)   on the first occasion that the work is assessed, and provided that the University's prescribed time limit allow, deferral of a decision about transfer for a limited period to permit the work to be revised and then reassessed;

(iv)    a decision that the PGR withdraw from a research degree candidature.

7.11    The decision on transfer must be recorded in writing, agreed by all the members of the assessment Panel and will contain a brief assessment of the PGR's progress. In all cases the PGR must receive a copy of the decision made by the assessment Panel. This will be available to PGRs through a notification in GRAD.

# 8. On-going Monitoring

8.1     Supervisors and PGRs  are required to keep up to date records of all supervisory meetings and formal progression points in GRAD.

8.2  The Graduate School monitors engagement with GRAD to ensure :

(i)     that a comprehensive record of the PGR's candidature is kept, including notes of supervision meetings, reports, the agreed training plan and records and other information having a bearing on the PGR's progress;

(ii)    that formal assessment and monitoring of progress takes place.

 It is the Head of School's overall responsibility, to ensure that any emerging issues are addressed. This might be delegated to the School DPGRS.(see note 2)

# 9. PGR Representation, Feedback and Channels of Communication and Complaints (see also 6.1 & 6.2 above)

9.1     The University welcomes feedback from PGRs and there are  a number of opportunities for this provided. Heads of Graduate Schools and  School DPGRS will inform PGRs of the local arrangements.

9.2     University includes PGR representation on relevant committees that cover PGR in their remit.  These opportunities are for a one year period and are arranged in consultation with PGRs.

9.3     The Head of the Faculty Graduate should ensure that PGRs are represented on the Faculty Graduate School Committee. The Head of School (see note 2) should ensure that PGRs, are represented on the postgraduate or other relevant school staff-student committee and that adequate opportunity is given to discuss issues affecting them.  PGR representatives will not be involved in the consideration of matters relating to individual PGR cases.

9.4   If a PGR has a material complaint, for example, they are dissatisfied with any aspect of their studies, including their supervision or with the facilities for their research, the University has a process by which this can be raised and reviewed. A PGR should be encouraged to consult, as

appropriate, their supervisor, Director of PGR Studies, Head of the Faculty Graduate School or other senior member of staff. A PGR  might also contact the Graduate School Office. If following consultation they remain dissatisfied they should make use of the University Student Complaints Procedure (which is published on the University website ).

9.5     Independent advice and support is also available for PGRs from LUU (Leeds University Union) in relation to both Complaints and Appeals. Their service for PGRs is confidential and independent from the University .

9.6     The University has in place a procedure governing the consideration of appeals against adverse academic decisions which is published on the University website.

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

## 10. Minimum standards of facilities provision for full-time PGRs

10.1     As a general principle, the Graduate Board has specified that access to facilities such as printing, photocopying and common room facilities for PGRs should be commensurate with the requirements for the research. It is the responsibility of the Executive Deans (or where they have been delegated to Heads of Faculty Graduate Schools or Heads of Schools)   to ensure that minimum standards of facilities are available to PGRs. PGRs registered on a research degree at the University should have appropriate access to facilities irrespective of their mode of study.

10.2     All PGRs in attendance at the University (full time or part time)  should where possible be provided with a designated area for study with appropriate desk space, computing/IT resources to embark on, pursue  and complete their research degree. Requirements may therefore vary over this period as a PGR engages with each stage of their research.

10.3     When resident in Leeds similar facilities should be made available for those PGRs studying under split site / dual PhD, distance learning or part-time arrangements, where appropriate.

10.4  Disability Services will discuss arrangements with PGRs who have a disclosed disability so they can determine their requirements for support as well as any reasonable adjustments for their studies and assessments through their research degree. Disability Services will then liaise with, advise and support the relevant Graduate School and academic supervisor(s) to put the adjustments in place.

## 11.     Quality assurance processes for research qualifications

11.1     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.

11.2     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 complete  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 PGR Progression and Examinations Group, which monitors the frequency of appointments of examiners.

11.3    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.

The PGR Turnitin Screening Process Guidance for Schools (PDF) sets out the process agreed by Graduate Board and the Progression and Examinations Group for the screening of PGR assessed work.

11.4    After the submission of the thesis all candidates for research degrees are required to undergo an oral examination which will be conducted in English 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 PGR and if not present must be contactable 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) should be provided to the candidate.

11.5    The Graduate Board requires its PGR Progression and 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.

11.6    The Graduate Board also requires its PGR Programmes and Quality to periodically review research degree provision of each faculty as part of a  cycle of activity along with annual review of research related activities.

**Endnotes**

1.      The term 'School' within this Code includes any unit admitting and registering PGRs. This will also include the two institutions accredited by the University with authority to register research degree candidates (Leeds Trinity University and York St John University) who will each also have their own Code of Practice.
2.      Or the individual to whom responsibility has been delegated.

3.      It is not possible in a general Code of this nature to specify a maximum number of PGRs per member of staff.  However, it is expected that if a member of staff has a heavy load of research supervision, this would be allowed for in allocation of teaching and administrative duties.  The Faculty Graduate School Committee will review annually statistics which include the number of PGRs allocated to each supervisor

4.      Informing the Head of School if a PGR submits against their specific advice or  refuses to show the thesis to the supervisor before submission;

5.      PGRs 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.  0.6 FTE Part-time PGRs are expected to work on their research project for periods of time equivalent to 20 hours per week. 0.75 part-time PGRs are expected to work on their research project for periods of time equivalent to 28 hours per week. This is only available for some programmes within the Faculty of Medicine and Health.  It is inevitable that their work load will be variable during the course of the year and it should be agreed with their supervisor(s).  When approaching a specific deadline such as the submission of a transfer report or thesis additional hours of work will be necessary.  They will also be expected, to undertake other professional activity, for instance to attend conferences, undertake fieldwork and other research activities outside of the University.

6.     It is expected that formal supervision meetings will normally take place face to face. Formal supervisory contact may take place by other means (eg video streaming, MS Teams or other similar software package when a PGR is away from the University including during periods of fieldwork, or for PGRs on split-site, distance-learning or other collaborative programmes).  Online supervision meetings should not be considered a routine alternative to face to face meetings, except where a PGR is away from the University as described above or if agreed as part of any reasonable adjustments. Email does not count as a suitable method by which supervisory sessions can take place..

7.     For those research degree programmes which have a significant taught component in year 1 and, therefore, have a standard period of study of 4 years full-time, the minimum number of supervision meetings required in year 1 may be less than 10 (or part-time equivalent).

8.     In the case of part-time PGRs  (all FTEs) the equivalent point will be after nine months.


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**Faculty Specific Information to supplement the**
**Code of Practice for Research Degree Candidatures 2024-2025**

| 3.1 | **Admission:** In addition to the University's minimum requirements for entry to doctoral study the following will apply: | |
|---|---|---|
| | BUSINESS | Applicants for doctoral study should hold a British Masters' degree (or <u>equivalent degree from an overseas university</u>) or an equivalent professional qualification:<br>• with a minimum average score of 60 percent (or equivalent); and<br>• in an appropriate academic discipline. |
| | SOCIAL SCIENCES | • School of Education it is also preferable that applicants hold a Masters' degree with a minimum grade of Merit in the area they wish to pursue and they have appropriate experience in the field of education.<br>• School of Politics and International Studies an MA degree is normally required in a relevant subject at merit or above, with merit or above in the dissertation element of the MA.<br>• School of Sociology and Social Policy an MA degree is normally required in a relevant subject at merit or above.<br>• School of Law an MA degree is normally required in a relevant subject at merit or above. |
| 3.1 | **Admission:** Some Faculties have English language entry requirements which are higher than the University's minimum requirements. These are as follows: | |
| | AHC | • IELTS overall score of 6.5 with at least 6.0 in all components.<br>• TOEFL (internet-based) overall score of at least 92 with at least 21 in listening, 21 in reading, 23 in speaking and 22 in writing.<br>• Distance Learning PhD - IELTS overall score of 7.0 with at least 6.5 in all components |
| | BUSINESS | • IELTS (academic) scores of at least 6.5 or more in each section and an overall score of 7.0 are required.<br>• TOEFL iBT - overall test result of 100 with minimum scores required in each of these sections: Listening 21, Reading 21, Speaking 23, Writing 22.<br>For split-site PGRs:<br>• IELTS (academic) scores of at least 6.5 or more in each section and an overall score of 7.0.<br>• TOEFL iBT - an overall test result of 100 with minimum scores required in each of these sections: Listening 22, Reading 22, Speaking 24, Writing 23. |
| | SOCIAL SCIENCES | The Schools of Education, Politics and International Studies and Sociology and Social Policy:<br>• IELTS (Academic) score of at least 6.5 with at least 6.0 in all components<br>• TOEFL (iBT) of at least 94 with at least 21 in listening 23 in reading, 23 in speaking and 24 in writing;<br>The School of Law:<br>• IELTS (Academic) score of 7.0 with at least 6.5 in all components<br>• TOEFL (iBT) of at least 100 with at least 22 in reading, 22 in listening, 24 in speaking and 23 in writing<br>• Pearson Test of English (Academic) 68 on PTE Academic, with at least 64 in each of the skills. |
| | ENVIRONMENT | The School of Food Science and Nutrition require IELTS 6.5 overall with no less than 6.0 in any component and TOEFL 92 overall, Listening 21; Reading 21; Speaking 23; Writing 22. |
| | MEDICINE & HEALTH | Minimum IELTS score of 6.5 overall, with no element less than 6.0, or a TOEFL iBT overall score of 92 with the listening and reading element no less than 21, writing element no less than 22 and the speaking element no less than 23. Certain degree programmes do have a higher English Language requirement, see https://medicinehealth.leeds.ac.uk/faculty-graduate-school/doc/entry-requirements-1 |

| 7.2 | **Formal Assessment and Monitoring (FFPR):** The following Faculties normally require FFPR to take place: | | | |
|---|---|---|---|---|
| | BIOL SCIENCES | By the end of month 4 (full-time) | | |
| | ENGINEERING AND PHYSICAL SCIENCES | By the end of month 5 (full-time) or month 10 (part-time) | | |
| | MEDICINE & HEALTH | DClinPsychol candidates develop a doctoral project over their first year, submitting a first formal progress report and research proposal in month 11 of year one. | | |
| 7.3 | **Formal Assessment and Monitoring (APR):** Faculties adopt APR Models as follows: | | | |
| | **Model A** (includes an independent assessor): Biological Sciences, Engineering and Physical Sciences and Medicine and Health | | | |
| | **Model B** (with independent oversight by a committee or equivalent as specified below): | | | |
| | AHC | Relevant School Progress Committee | | |
| | BUSINESS | Relevant Progress Committee | | |
| | SOCIAL SCIENCES | Relevant School Research Degree Committee | | |
| | ENVIRONMENT | Relevant School Research Progress Committee | | |
| 7.5 | **Formal Assessment and Monitoring (Transfer Report Submission Date).** Faculties normally require the submission of the transfer report as follows: | | | |
| | | Full-time Prov PhD normally by end of month | Part-time Prov PhD normally by end of month | Other doctoral programmes |
| | AHC | 9 - 12 | 18 | |
| | BIOL SCIENCES | 9 (excludes periods of formal training such as laboratory rotations) | | |
| | BUSINESS | 12 | 24 | |
| | SOCIAL SCIENCES | 10 | 20 | |
| | ENGINEERING AND PHYSICAL SCIENCES: | 10 | 22 | |
| | ENVIRONMENT | 9-12 | 18-24 | Integrated MSc/PhD Data Analytics and Society by 24 months. SOFI CDT candidates by 24 months |
| | MEDICINE AND HEALTH | 10 | 22 | Full-time MD normally by end of month 10 and part-time MD end of month 16. 4-Year PhD normally by the end of month 16. Full DClinPsychol normally by end of month 17. |
| | Note: Integrated PhD and Professional Doctorate candidates have different deadlines for transfer and will take place according to the information detailed on each Calendar entry. For further details check your milestones on GRAD or contact the Graduate School. | | | |
| 7.6 | **Formal Assessment and Monitoring (Transfer Assessment)** | | | |
| | Further information on the transfer assessment process (including the contents of the transfer report) are available at: | | | |
| | AHC | Relevant School handbooks – which are available on Minerva and PGRs are directed there for further details. | | |
| | BIOL SCIENCES | [Biological Sciences Graduate School (sharepoint.com)](sharepoint.com) | | |
| | BUSINESS | https://minerva.leeds.ac.uk/ <br> - follow links to the LUBS Graduate School Organisation | | |
| | SOCIAL SCIENCES | Relevant School PGR handbooks | | |
| | ENGINEERING AND PHYSICAL SCIENCES | https://minerva.leeds.ac.uk/ <br> - follow links to the Engineering and Physical Sciences Graduate School Organisation | | |

| | | |
|---|---|---|
| | ENVIRONMENT | https://minerva.leeds.ac.uk/ultra/organizations/_401326_1/cl/outline<br>Faculty of Environment Graduate School Minerva |
| | MEDICINE & HEALTH | Medicine & Health Graduate School (sharepoint.com) |
| 6.6 | **Formal Assessment and Alternative Format Thesis** | |
| | Further information on Formal Assessment, alternative format and practice-based format is available. | |
| | AHC | Faculty of AHC: Protocol for the format and presentation of an alternative style of doctoral thesis including published material |
| | BIOL SCIENCES | Faculty of Biological Sciences: Protocol for the format and presentation of an alternative style of doctoral thesis including published material |
| | ENGINEERING AND PHYSICAL SCIENCES | Faculty of Engineering and Physical Sciences. Please note that these arrangements are only approved for the schools of the former faculty of Engineering: Protocol for the format and presentation of an alternative style of doctoral thesis including published material |
| | ENVIRONMENT | Faculty of Environment: Protocol for the format and presentation of an alternative style of doctoral thesis including published material |
| | MEDICINE & HEALTH | Faculty of Medicine and Health: Protocol for the format and presentation of an alternative style of doctoral thesis including published material |
| 6.7 | **Formal Assessment and Practice-led PhD** | |
| | AHC | The practice-led PhD is only offered by the following schools and is set out in its own **protocol**:<br><br>School of English<br>School of Media and Communication<br>School of Fine Art, History of Art & Cultural Studies<br>School of Music<br>School of Performance & Cultural Industries<br>School of Design |