THE UNIVERSITY OF LEEDS

Faculty of Mathematics and Physical Sciences (MAPS)

The Faculty of MAPS Protocol for the Implementation of the University Code of Practice for Research Degree Candidatures (with effect from session 2012/13)

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

Within this Code, Deans may delegate some of their responsibilities to the Director of the Faculty Graduate School, 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.

The MaPS Faculty Protocol will be given to all new MaPS students by their registering School or Department as part of their introductory material. A copy will also be available on the Faculty website for both students and staff. Responsibility for monitoring and updating the Protocol lies with the Faculty Graduate School Committee.

2. Management Structure

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 Director of the Faculty Graduate School 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 Director of the Faculty Graduate School 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 Research Student Administration. 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.

Structure and Organisation of PGR affairs in the Faculty of MAPS

The Faculty of MaPS is a federal faculty consisting of the following Schools:

**Chemistry** (including Colour Science) (Lead Postgraduate Research Tutor and PGRT for Admissions Prof Michaele Hardie, PGRT Progression Dr Julie Fisher)

**Mathematics** (Statistics, Pure and Applied Mathematics) (Lead Postgraduate Research Tutor and PGRT for Statistics Dr Leonid Bogachev, PGRT for Pure Mathematics Prof Michael Rathjen, PGRT for Applied Mathematics Dr Grant Lythe)

**Physics** (Lead Postgraduate Research Tutor and PGRT for Progression Prof Peter Olmsted, PGRT for Admissions Prof Stephen Evans)

**Food Science and Nutrition** (PGRT Prof Gary Williamson and Deputy PGRT Dr Rammile Ettelaie).

The constituent Schools believe that many issues relating to postgraduate affairs are best dealt with at the School level and therefore that School Postgraduate Research Tutors, School Staff-Student Committees and Heads of School have important roles to play.

The Schools also recognise that some issues relating to postgraduate affairs are better dealt with at the Faculty level via the Graduate School (e.g. Generic Skills) and that the Faculty Graduate School provides an excellent forum for exchanging best practice. The Faculty Graduate School is also an efficient mechanism for interacting with the University.

PGR affairs at the Faculty level are primarily handled by the Faculty Graduate School Committee (FGSC) chaired by the Director of the MaPS Graduate School Dr Oliver Harlen. An organisational chart of the MaPS Faculty Management structure relevant to PGR affairs, including the composition of the FGSC is shown in Appendix 1.

Reporting and discussion of individual student matters

a. Issues - The first point of contact should be the supervisor(s), possibly initially as an informal discussion, but if necessary as a formal item at a formal supervision meeting. Any issues that cannot be directly resolved between the supervisoral team and the student should be taken initially to the Postgraduate Tutor (PGRT) (n.b. an alternative member of staff, typically another PGRT from the same school or an former PGRT, should be nominated for students who have the postgraduate tutor as their supervisor) or raised at the School Staff-Student Committee. It is expected that most individual matters will be dealt with at the School level but issues which cannot be satisfactorily resolved at the School level should be referred to the Faculty Graduate School Committee.

b. Supervisors have a responsibility to complete appropriate reports on progress, read and give feedback on student reports and keep the PGRT informed about any issues that might affect progress. Details on monitoring of reports are given in Section 6.1. PGRT should ensure that appropriate supervision is taking place and progress is being made.

Attendance is formally monitored by supervision meetings that should take place at approximately monthly intervals. These meetings should be recorded in the PDR system. Responsibility for the arrangement of supervision meetings lies with both student and supervisor. The supervisor should ensure that opportunities for these meetings are available and should inform the PGRT if the student is not attending. The PGRT should monitor that supervision meetings are taking place and contact the supervisor/Head of School as appropriate if meetings are not occurring. It is recommended that supervisors informally
monitor day-to-day attendance. The PGRT is responsible for liaising with University bodies such as Research Student Administration. The Faculty Graduate School Committee should ensure that appropriate monitoring of progress is occurring in each School.

Reporting and discussion of matters of policy - Policy matters should first be discussed at the School level (e.g. through the Staff Student Committee, Research Committee or School Management Committee - see Appendix 1) and subsequently brought before the Graduate School for discussion and approval. As a federal faculty with varying styles of research, it is recognised that not all policies/actions will be appropriate to all Schools. However, where possible, policy issues should be the same across the Faculty.

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 (see note 4). Where practicable, an interview should take place. 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 (e.g. 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.

In the Faculty of MaPS applications for PGR study are considered at the School level by the PGRT and potential supervisors.

Material to be provided by the applicant - a completed application form, transcripts of academic results obtained to date and the names of at least two referees are essential. Additional material such as a CV or a copy of a Masters dissertation may also be required. Applicants should pay particular attention to those parts of the form relating to the proposed project or particular areas of study. It may be helpful to discuss possible projects with potential supervisors.

3.2 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.

3.3 Formal offers of admission, which will include any conditions to be met prior to entry, can only be made by Research Student Administration 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.

The Faculty of MaPS believes that it is good practice for Schools to maintain regular contact with applicants, for example informing them that a recommendation has been sent to the University's Research Student Administration.

4. Supervision

4.1 It is the responsibility of the Dean of the Faculty, the Director of the Faculty Graduate School 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).

Within the Faculty of MaPS arrangements for ensuring that no supervisor is overloaded with supervisory responsibilities rests with the relevant Head of School.

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 analysis 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 policy on Safeguarding Data – Storage, Backup and Encryption

(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 that there are written records of formal supervisory meetings;

(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);

(xxii) 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”.

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 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 / Head of School;

(vi) to comply with normal working arrangements in the School;

(vii) to consult with their supervisor before undertaking any additional work. Students should discuss with their supervisor whether any teaching or other 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 policy on Safeguarding Data – Storage, Backup and Encryption

(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 (e.g. medical certificate);

(xvii) to consult with the supervisor 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 (e.g. 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.

In addition, postgraduate research students registered in MaPS must ensure before leaving the University that all chemicals and materials have been appropriately dealt with (e.g. returned to stores for disposal or safely stored for future use), that all electronic material generated during the PhD project is appropriately archived (as agreed with the supervisor and in accordance with data protection protocols) and other material (e.g. lab books, reports, spectra etc) are passed to the supervisor.

4.7 Students are encouraged to keep Personal Development Plans.

4.8 The expectation is that a full-time research student has a right to 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. Directors of Faculty Graduate Schools 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, 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**

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.

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.

All students within MaPS should have the opportunity to see the PGRT at least annually without their supervisor(s) being present. This may typically occur at re-registration or at other appropriate times of the year. Students will be contacted by the PGRT or PG Administrator to arrange appointments. For students who have the PGRT as a supervisor or part of the supervisory team, an alternative should be provided (e.g. another or previous PGRT or HoS).

It should be emphasised that the PGRT is available for consultation (if necessary by appointment) at any time in the year.

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. 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.

Supervisors within the Faculty of MaPS are required to submit reports on the student's progress within 4 to 6 months of commencing study, prior to transfer and subsequently before the end of the second and third years. For students entering their fourth year a timetable should be agreed with the student of the work to be carried out in the overtime or final year to ensure submission within 48 months (or the maximum time limit for Integrated Masters/PhD programmes).

For part time students, reports should be delivered at the appropriate ratio up to transfer and annually thereafter.

Reports on a student's progress should be considered by the PGRT, if necessary reporting to the School Research Committee if there are problems with progress. It is the responsibility of the PGRT within the Schools to act on the supervisor's reports and ensure that any recommendations (e.g. additional training) have been implemented; such issues are best dealt with at the School level. The Graduate School will monitor that such reports are taking place and are being followed up.

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 to ensure that the student has made satisfactory progress with the agreed training plan. 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 and record of training and information about skills development and ethical issues with the research. It might also include a synopsis of the work already carried out, a sample chapter, a planned schedule of the work, a summary of the periodic reports by the supervisor 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 booklet entitled Ordinances and Regulations and Programmes of Study for Research Degrees. 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 permits, deferment 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.

Transfer/Upgrade Process

**Timescale**
Transfer within MAPS requires the submission of a transfer report AND a transfer viva. Transfer reports must be submitted within 11 months of starting the PhD. The transfer viva must take place within 12 months of starting the PhD with recommendations being forwarded to Graduate Board within 12 months of the commencement of the PhD.

For part time students the relevant times are 23 months and 24 months respectively.

These are the latest points for submission and transfer. Transfer can occur earlier; after 9 and 18 months for full and part time students respectively.

**Composition of the transfer panel** - the transfer panel will consist of at least two assessors (at least one of whom must be independent of the supervisory team). Ideally, the transfer panel should contain two independent assessors with option of the supervisor(s) being present, but the Graduate School recognises that this may not be possible in all cases. Assessors should read and comment on the report. The transfer viva is expected to have similarities with the PhD viva.

The PGRT or Head of Research may also read a selection of student transfer reports and attend a selection of transfer vivas as a means of ensuring the consistency and rigour of the transfer process.

**Transfer Report Contents and Structure** - It is recognised that the content and structure of transfer reports will vary across the Faculty. It is therefore essential that students consult with their supervisors regarding the structure, length and content of their transfer reports.

Typically transfer reports should include an introduction giving the objectives and context of the work, a review of previous work, a summary of the experimental techniques, a summary and discussion of the results obtained to date and a plan of future work.

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 Director of the Faculty Graduate School 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 Director of the Faculty Graduate School 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**

7.1 The Director of the Faculty Graduate School 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.
Schools within the Faculty of MaPS have their own Staff/PGR committees which provide opportunities for dialogue at the School level (see Appendix 1 and Section 2).

The Faculty Graduate School Committee will include a PGR representative from each of four Schools within the Faculty, (Chemistry, Food and Nutrition, Mathematics, Physics).

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). All Faculties should have in place arrangements for considering an appeal against an adverse decision affecting the student’s progress (for example refusal to recommend transfer from the provisional category or a recommendation for discontinuance of study). Consideration of appeals against the outcome of the final examination will be considered at University level.

Complaints and Appeals

If students are dissatisfied with any aspect of their supervision or with facilities available for research and cannot reach a satisfactory outcome with their supervisor, then in the first instance they should approach the PGRT in their School and if they remain dissatisfied after the outcome of that consultation, to make use of the University Complaints Procedure (as outlined in the Research Student Handbook), where appropriate.

MaPS has a procedure for dealing with appeals following an adverse decision affecting the student’s progress (e.g. not recommending transfer or recommending termination of study). In these cases students should follow the University’s Appeals procedure (again see the Research Student Handbook); the appeal should be made to the Dean of the Faculty who will normally request the Graduate School to appoint two senior members of staff to constitute a panel to review the appeal.

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

Scientific equipment and computing facilities commensurate with the requirements of the specific project will be made available.

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, Directors of Faculty Graduate Schools/Heads of Schools

The responsibilities of Deans (or where they have been delegated to Directors of Faculty Graduate Schools or Heads of Schools) may be summarised as follows:

• To ensure that an adequate management structure and procedures are in place for handling postgraduate 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 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 College 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 21 in listening, 21 in writing, 22 in reading and 23 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, letters, 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.