

POLICY AND CODE OF PRACTICE FOR POSTGRADUATE RESEARCH PROGRAMMES

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University of Strathclyde

Policy and Code of Practice for Postgraduate Research Programmes

Introduction

This *Policy and Code of Practice for Postgraduate Research Programmes* was approved by Senate and Court in May 2005 with updates approved by Senate in September 2010 and March 2012. It should be read in conjunction with the revised General Regulations for Higher Degrees by Research (Regulations 20.1) approved by Senate in March 2000. These Regulations are included in [Part 3 of the University Regulations](#).

This revised statement takes into account the consultation document on improving standards in postgraduate research degree programmes issued by the four UK higher education funding bodies in May 2003, the revised [UK Quality Code for Higher Education - Chapter B11: Research degrees](#) (which supersedes the *Code of practice for the assurance of academic quality and standards in higher education, Section 1: Postgraduate research programmes 2004*), various developments associated with the Bologna Process of Higher Education reform (with particular reference to Masters and Doctoral level developments), and the [QAA consultation on Master's Degree Characteristics issued in September 2011](#)

The main differences between this document and that updated in September 2010 are:

- i. the Head of Department/ School has authority for:
 - appointing and changing supervisors;
 - approving the field of study (doctorates) or programme of study (MPhil);
 - approving arrangements for external study;
 - approving a student request for transfer from doctoral to master's study.
- ii. the Vice Dean has authority to, subject to an annual report being made to the Quality Monitoring Committee:
 - approve a reduction in the minimum duration of study for a research degree;
 - approve requests for voluntary suspension;
 - approve an extension to the maximum period of study for a research degree.
- iii. the Vice Dean has authority to, subject to a report being made to the relevant Board of Study; approve the award of research degree.
- iv. the Postgraduate Certificate Advanced Academic Studies for Supervisors is managed and organised from within the Organisational and Staff Development Unit (OSDU)
- v. the taught element of postgraduate research programmes refers to the prescribed curriculum outlined in course regulations included in [Part 3 of the University Regulations](#).
- vi. researcher development skills training describes provision (including taught) that provides generic (research/methodology) and transferable skills training.
- vii. student progress monitoring is now managed online.

Any queries about these guidelines should be addressed to the relevant Faculty Manager or to Education Enhancement within the University's Student Experience and Enhancement Services (SEES) education.enhancement@strath.ac.uk.

Policy and Code of Practice for Postgraduate Research Programmes Approved:
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POLICY AND CODE OF PRACTICE FOR POSTGRADUATE RESEARCH PROGRAMMES

Terminology

A postgraduate research student/doctoral candidate may be admitted to a Department/ School or to a Faculty, or to a Centre for Doctoral Training. Where a student/doctoral candidate is admitted to a Department/ School, the Head of Department/ School accepts certain duties and responsibilities. Where a student/doctoral candidate is admitted to a Faculty, the relevant Vice-Dean of the Faculty accepts these same duties and responsibilities. Where a student/doctoral candidate is admitted to a Centre for Doctoral Education, the Director accepts certain duties and responsibilities. Throughout this document **Responsible Person** is used to mean the Head of Department/ School or relevant Vice-Dean of the Faculty or Director as appropriate. The Responsible Person may be advised by departmental/ School or faculty committees and may appoint nominees (individuals or groups) to carry out some or all of these duties on his or her behalf. The Responsible Person will retain overall responsibility for ensuring that any delegation is effective.

A minimum of two Supervisors (and a usual maximum of three) are appointed for each postgraduate research student/doctoral candidate (refer to specific information on this in the University Regulations, or the Matrix at Annex 2 to this policy and code of practice) who will throughout this document be referred to as the **Supervisor**, the **Second Supervisor**, and the **Third Supervisor**. The primary responsibility for supervision rests with the Supervisor but, by agreement between the three supervisors, the Second Supervisor may from time to time carry out the duties of the Supervisor. The Supervisor will retain overall responsibility for ensuring that this delegation is effective.

1 Institutional Arrangements

1.1 The University has a coherent framework for awards which is broadly compatible with the UK national frameworks and level descriptors. The University's awards framework recognises two postgraduate levels:

- Masters level is broadly equivalent to Level 11 (or SHE5) in the Scottish Credit and Qualifications Framework (SCQF)
- Doctoral level is broadly equivalent to Level 12 (or SHE6) in the Scottish Credit and Qualifications Framework (SCQF)

1.2 The University offers the following postgraduate awards with a predominant or significant research (or comparable project) content:

- Master of Research (MRes)
- Master of Philosophy (MPhil)
- Doctor of Business Administration (DBA)
- Doctor of Education (EdD)
- Doctor of Psychology (DEdPsy)
- Doctor of Engineering (EngD)
- Doctor of Philosophy (PhD)

Exceptionally, at the Request of the Head of Department/ School on behalf of Senate, the University may offer the MPhil degree under a different title such as the Master of Science (MSc) by research).

The research element of doctoral level programmes is not normally credit rated (with the exception of the EdD Thesis and the DBA Thesis, although transferable skills training associated with the Researcher Development Programme does now carry a credit rating).

- 1.3 Programmes of study leading to the awards in paragraph 1.2 above are governed by the General Regulations for Higher Degrees (see Part 3 of the University Regulations, Section 20) and any Specific Course Regulations (see Part 3 of the University Regulations).
- 1.4 Faculties and Departments/ Schools provide more detailed information about research programmes and procedures relevant to the area of study concerned.
- 1.5 Copies of the *Policy and Code of Practice* are available electronically at: <http://www.strath.ac.uk/hr/policiesandprocedures/>
- 1.6 There are two main committees which have responsibilities allied to postgraduate students/doctoral candidates. These are:
 - 1.6.1 The Research & Knowledge Exchange Committee (R&KEC), which has oversight of strategy, policy and monitoring with respect to research and knowledge exchange activity (<http://www.strath.ac.uk/committees/strategiccommittees/>). (It should be noted that the Researcher Development Group (a sub-group of the R&KEC) addresses issues specifically relating to PGR experience); and
 - 1.6.2 The Learning Enhancement Committee, which is responsible for developing and monitoring the University's strategy for Learning, Teaching and Assessment, and the enhancement of the Student/Doctoral Candidate Experience <http://www.strath.ac.uk/committees/strategiccommittees/>
- 1.7 The University awards a number of University Research Studentships and Research Council funded studentships each year. These are sponsored by the University/Research Councils with varying contributions from the Faculties and departments/ Schools. Faculties and Departments/ Schools also offer studentships.
 - 1.7.1 The University also funds different schemes to give undergraduate students exposure to research project working. These include the [Interns@Strathclyde programme](#), and the [EPSRC Vacation Bursary Scheme](#).

2 Research Environment

- 2.1 The University will admit research students/doctoral candidates only where:
- high quality research in cognate areas is being undertaken by a community of academic staff and postgraduate students/doctoral candidates;
 - there are supervisors with the necessary skills and knowledge to facilitate the successful completion of postgraduate research, and;
 - the student/doctoral candidate will have access to the facilities and equipment necessary for the successful completion of their research programme.
- 2.2 Such a research community may be achieved by collaboration between related research units within the University (whether within a single Faculty or across two or more Faculties) or between units in the University and cognate units in partner universities/institutions.

3 Selection, Admission, Enrolment and Induction of Students/Doctoral Candidates

3.1 Applications

- 3.1.1 Application for postgraduate study by research is an online web-based process. Applications may be made via the website <http://pgr.strath.ac.uk>.
- 3.1.2 The University accepts applications on-line, via the University's worldwide website, or by post or facsimile. In line with other universities in the UK, the University operates a screening procedure for all applicants in respect of previous criminal convictions. (Refer to the [University's Policy on 'Dealing with Applications from Students with Criminal Convictions'](#)).
- 3.1.3 Applications from international/overseas students/doctoral candidates to study at Strathclyde (i.e. whose permanent residence is located outside the UK and the European Union) are subject to UK Border Agency controls with respect to the Points-Based-System of Immigration (PBS). Further information with respect to PBS and immigration regulations may be found on the following websites: <http://www.ukba.homeoffice.gov.uk/>, <http://www.strath.ac.uk/sees/infoint/>).

3.2 Selection

- 3.2.1 The University will admit students/doctoral candidates to a postgraduate research programme only if they are considered to have the necessary experience, qualifications and motivation to succeed in achieving the award to which that programme leads. The minimum entry requirement for a doctoral candidate is normally an upper second class honours degree from a UK Higher Education Institution (HEI) or a qualification deemed by the University to be of an equivalent academic standard. (See Regulations in Part 3, Section 20, of the University Regulations, and the Specific Programme Regulations contained therein). The minimum entry requirement for a Masters student is normally a second class honours degree from a UK HEI or a qualification deemed by the University to be of an equivalent academic standard.

3.2.2 A postgraduate research student/doctoral candidate may be admitted to study in a Department/ School or in a Faculty or a Centre for Doctoral Training. The decision to admit or not to admit a student/doctoral candidate will be made by the Responsible Person and at least one other member of staff with relevant expertise (normally the prospective Supervisor) using explicit criteria set out in the Postgraduate Prospectus and/or the University Regulations, including the following:

- i. whether the applicant is appropriately qualified to undertake the proposed research programme;
- ii. whether the research programme proposed is consistent with the level of study for which the applicant is to be admitted and can be completed in the time-scale designated;
- iii. whether the research programme fits into the research portfolio of the Departments/ Schools or Faculty or Centre for Doctoral Training concerned and can be supported within the institution in terms of research supervision and community, accommodation, facilities and support services;
- iv. whether the applicant has adequate proficiency in the English language.

Currently, the University normally requires potential candidates whose first language is not English, to have achieved a minimum score of 6.5 in the International English Language Testing Service (or equivalent demonstration). Additional English Language tuition can be provided by the University, via the Language Learning Centre, if required.

3.2.3 It is also necessary for the University to be reasonably assured of the ability of the applicant to cover the full cost of their intended study, either directly by the applicant himself/herself (through appropriate means) or through an appropriate form of scholarship (or studentship) support arrangement.

3.2.4 Where Departments/ Schools and Faculties have additional criteria for admission, these are made known to applicants either in the *Postgraduate Prospectus* or in other information issued to applicants.

3.2.5 References will normally be sought on potential students/doctoral candidates and interviews will be arranged wherever practicable and appropriate.

3.2.6 The University's Equal Opportunities and Racial Equality Policies will apply to all aspects of the recruitment process.

3.2.7 Student Experience and Enhancement Services (SEES) <http://www.strath.ac.uk/sees/> supports the admissions process and the Recruitment and International Office (RIO) <http://www.strath.ac.uk/rio/> provides additional support for overseas applicants.

3.3 *Research Proposal*

- 3.3.1 Applicants are normally required to suggest and agree a general area of research with the Department/ School or Faculty or Centre for Doctoral Training to which they are applying. Once the general area is agreed the prospective student/doctoral candidate and his or her prospective supervisor (or the Responsible Person) should agree a brief outline research proposal. This should indicate the proposed area of research, the likely/types of methods to be used to conduct the research and how the proposed work relates to any previous research done in this or a related field.
- 3.3.2 Ideally, the research proposal should be agreed prior to the issue of a formal offer letter to the applicant by the University. This includes the need (where possible) for any necessary ethical approvals to have been secured through both internal University processes and any external (regulatory) requirements. Where logistics prevent this from occurring, the proposal should be agreed, and all ethical approvals obtained, from as early as possible following the start of the official study period (<http://www.strath.ac.uk/ethics/>). Failure to do this may preclude the student/doctoral candidate from commencing their studies. A copy of the proposal and any ethical approvals notices should be retained by the student/doctoral candidate and by the Supervisor or the Responsible Person.
- 3.3.3 The general study arrangements for the programme must be agreed prior to the issue of a formal offer letter by the University. This is particularly important in cases where distance learning approaches (of various sorts) are involved.
- 3.3.4 If the applicant intends to use existing research and/or published output to be part of the Doctoral Thesis or Masters Dissertation/Project, this should be declared and agreed prior to the issue of a formal letter by the University. There should also be agreement with respect to any credit that will be applied in the context of Prior Learning.

3.4 *Offer Letters*

- 3.4.1 Student Experience and Enhancement Services (SEES) is responsible for issuing formal confirmation of an offer of admission to postgraduate research students/doctoral candidates on the instruction of the Responsible Person in the Department/ School or Faculty as appropriate. These letters will include clear statements of the following:
- i. General area of research agreed with the Department/ School (and Outline of Research Project if available);
 - ii. title of the award to which the study will lead;
 - iii. name of the Supervisor (and Second Supervisor if known at this point) [*note: in exceptional cases where the name of the Supervisor is not known (and with the approval of the relevant Vice-Dean), the circumstances will be made clear to the student/doctoral candidate and the name of the Responsible Person and Department/ School/Faculty will be given instead*];
 - iii. expected duration of study;

- iv. the requirement for intermediate assessment of student/doctoral candidate progress on doctoral programmes and the criteria for this assessment if these are available [*note: new entrants who have successfully completed an appropriate Masters level programme may be exempt from intermediate assessment*];
 - v. fees to be paid;
 - vi. any other terms and conditions that apply to the offer.
- 3.4.2 Details of where to find this [Policy and Code of Practice](#) on the University website are circulated with each offer letter together with further relevant information in SEES, the Finance Office and other student/doctoral candidate support services.
- 3.5 *Registration*
- 3.5.1 Students/doctoral candidates are required to accept the terms of the University's offer of admission and agree arrangements for payment of fees with the Finance Office before they are registered for postgraduate study.
- 3.5.2 Registration is renewed annually for the agreed duration of study, subject to satisfactory progress being achieved. Students/doctoral candidates receive a student card when they register confirming their entitlement to use student services and facilities.
- 3.6 *Induction*
- 3.6.1 The University takes postgraduate research students/doctoral candidates from many different parts of the world into almost all of its academic departments/ Schools and Faculties. Departments/ Schools and Faculties make arrangements to welcome these students/doctoral candidates and inform them of relevant events and activities. Additionally the University and the City of Glasgow organise annual welcome ceremonies and events for all overseas students/doctoral candidates to introduce them to the University and the West of Scotland.
- 3.6.2 The University Postgraduate Research Student (PGR) Induction Programme is delivered once per academic year for all first year PGR students. This is usually held early/mid-October, and it is relevant to all new PGR students across the University, whether part-time or full-time. New students should make every effort to attend the induction for a greater understanding of the academic and social environment, and a useful awareness of the opportunities and services available. An online orientation programme, PG Essentials, is also available through the [Researcher Development Programme](#), which supplements the one day event.

3.6.3 The University provides a full range of student/doctoral candidate support services through the:

- Careers Service
- Research and Knowledge Exchange Services
- Centre for Educational Systems
- Chaplaincy Centre
- Disability Service
- Recruitment and International Office (RIO)
- Student Experience and Enhancement Services (SEES)
- Residences and Catering Services
- Centre for Sport and Recreation
- Student Advisory and Counselling Service
- Student Finance Office
- Student Health Service
- University of Strathclyde Students' Association
- University Library

3.6.4 If a student/doctoral candidate has a particular difficulty that is academic in nature, they should discuss this with their Supervisor in the first instance. For other issues, reference should be made initially to the relevant section of [Student Experience and Enhancement Services](#). Overseas students/doctoral candidates may wish to consult the Senior Student Adviser, based in SEES, McCance Building.

4 Duration of Study

4.1 *Minimum Period of Study*

4.1.1 The minimum period of study normally required for research degrees, which commences at the point of enrolment, is as follows:

For full-time study

- | | |
|---|-----------|
| • Doctorate where a doctoral candidate already has a Masters Degree in a cognate field | 24 months |
| • Doctor of Philosophy where a doctoral candidate does not have a Masters Degree in a cognate field | 36 months |
| • Doctor of Engineering | 48 months |
| • Doctorate within a Centre for Doctoral Training | 48 months |
| • All other doctorates | 36 months |

For non-consecutive study

- the minimum period should be the learning equivalent of the full-time study period required taking account of the conditions under which the student/doctoral candidate will work.

(See Regulations: 20.1.5 and 20.2.4 (Doctoral level); and 20.3.3 and 20.4.4, (Masters level) in [Part 3 of the University Regulations](#). See also Annex 2 attached to this document.

4.2 *Maximum Period of Study*

4.2.1 The maximum period of study (i.e. the time between enrolment and submission of the thesis) normally permitted for each type of research degree is as follows:

For full-time study

- Doctorate where a doctoral candidate already has a Masters Degree in a cognate field 36 months
- Doctor of Philosophy 48 months
- Doctor of Engineering 60 months
- Doctorate within a Centre for Doctoral Training 48 months
- All other doctorates 60 months

For non consecutive study

- the expected period of study must be reviewed annually by the supervisors and confirmed annually at registration. However, the maximum duration for the Doctorate by Publication is 48 months.

(See Regulation 20.1.5 and 20.2.5 (Doctoral level), and 20.3.4 and 20.4.5 (Masters level) in Part 3 of the University Regulations).

4.2.2 Other than in exceptional circumstances, the University expects all research students/doctoral candidates to complete their degree within the maximum period allowed by the Regulations. ([See Regulations in section 20 in Part 3 of the University Regulations](#)).

4.2.3 Supervisors and Heads of Department/ School should have regard to the period of funding available to support individual students. Supervisors should work with the student to encourage completion within this period and with a view to minimising the financial and opportunity costs incurred where completion extends significantly beyond the period for which funding is available (typically where students are recorded as 'writing up').

4.2.4 Studentship holders should pay close attention to the maximum duration of funding indicated in their initial funding award letter. How this affects the management and duration of their studies should be discussed and agreed at the outset with their Supervisor.

4.3 *University Staff*

4.3.1 University staff may be admitted as candidates for research degrees (Masters and Doctoral level) and are bound by specific regulations relating to their status as University staff, including details of the duration of study.

4.3.2 University staff on the standard route for a doctoral level award may submit a thesis for a research doctorate (i.e. PhD or EngD) or a Professional Doctorate consisting in part of previously published work, provided it presents a connected record of research in the field of study and that it has not been presented in part or in whole fulfilment of the requirement for any other degree award.

4.3.3 University staff on the 'by publication' route for a doctoral level award may submit a thesis for a research doctorate (i.e. PhD or EngD) or a Professional Doctorate consisting wholly (or at minimum, substantially) of previously published work, provided this presents a connected record of research in the field of study and that it has not been presented in part or in whole fulfilment of the requirement for any other degree award.

4.3.4 University staff admitted to study for a research Masters degree may submit a dissertation consisting in whole or in part of previously published work, provided it presents a connected record of research in the field of study and that it has not been presented in part or in whole fulfilment of the requirement for any other degree award.

4.4 Reduction in Period of Study

4.4.1 In appropriate circumstances the Vice Dean may approve a reduction in the period of study following the submission of a case made by the Responsible Person.

4.5 Extension to the Period of Study and/or Voluntary Suspension

4.5.1 Supervisors should make every effort to ensure that each of their Masters level students and Doctoral level candidates submit his or her thesis within the maximum period of study set down in the Regulations. However, in exceptional circumstances, the Vice Dean may approve an extension to the period of study and/or a voluntary suspension arrangement in the case, for example, of medical, hardship, or other personal reasons.

4.5.2 A strong case must be made to the Vice Dean by the Head of Department/ School, acting on the recommendation of the Supervisor and the Responsible Person.

4.5.3 Where an extension is agreed, fees at the appropriate standard rate will continue to be payable.

4.5.4 The period for any voluntary suspension should not normally exceed two years and no fees are payable unless the student/doctoral candidate receives assistance from his or her supervisors in writing up his or her thesis during the suspension period. In this latter case an appropriate fee will be charged.

4.6 Working Hours and Holiday Entitlement

4.6.1 Full time students/doctoral candidates are expected to carry out their research for a minimum of 35 hours per week for the duration of their study. The pro rata value is expected of part time students/doctoral candidates

4.6.2 Full time students/doctoral candidates are entitled to a minimum of 20 days holiday per year. Part time students are entitled to the pro rata value.

5 Collaborative Provision

5.1 Joint Postgraduate Research Programmes

5.1.1 With the approval of the Head of Department/ School, the University may collaborate with other institutions/agencies to provide joint postgraduate research programmes leading to an award or joint award of the University where there

is mutual advantage to the student/doctoral candidate, the University and the collaborating agency. Arrangements may take the form of:

- registering a student/doctoral candidate to undertake a research programme outwith the University (e.g. in a company or Government Research Laboratory); or
- collaborating with another University to jointly supervise a student/doctoral candidate on a research programme.

5.1.2 Any proposal for a Department/ School or Faculty to collaborate with another institution or agency (University X) to jointly supervise a student/doctoral candidate on a research programme leading to an award or joint award of the University must be explicitly notified to the Head of Department/ School for approval according to the provisions within the *University Procedures and Guidelines for Collaborative, Off-Campus and Overseas Courses Leading to Awards or Joint Awards of the University*.

5.1.3 Proposals to the Head of Department/ School must confirm one of the following:

EITHER **The University of Strathclyde will be the administering University**, in which case, University of Strathclyde Policies and Regulations will apply. Students/doctoral candidates will be students/doctoral candidates of the University of Strathclyde: they will be bound by University of Strathclyde Regulations and will be entitled to use any of the student support services of either university or agency.

OR **The University of X will be the administering University**, in which case University of X policies and Regulations will apply. This option may only be used where the collaborating institution has powers to award research degrees and where Senate considers it appropriate. Students will be students of the University of X: they will be bound by University of X Regulations and will be entitled to use any of the student support services of either university or agency. The Senate of the University of Strathclyde may nevertheless insist that it is required to approve the Examining Committee. When at Strathclyde, students/doctoral candidates will be bound by the University of Strathclyde general regulations.

5.2 *External Research Students/Doctoral Candidates*

5.2.1 Any proposal to register for an award of the University of Strathclyde by an external research student/doctoral candidate must be explicitly notified to the Head of Department/ School.

5.2.2 The arrangements for external research students/doctoral candidates will as far as possible follow the normal procedures and guidelines for postgraduate research programmes set out elsewhere in this document. In particular, and in accord with these *Guidelines*, two University supervisors should normally be appointed in addition to any External Supervisor. The University supervisors should ensure that:

- the student's/doctoral candidate's programme includes appropriate researcher professional development skills training (see Annex 2);

- there is adequate progress monitoring and feedback to the student/doctoral candidate; and
 - appropriate arrangements are made for regular contact between the external and internal supervisors and the student/doctoral candidate.
- 5.2.3 Departments will provide a detailed breakdown of the split between attendance at the University and at the external institution throughout the duration of the candidate's studies.
- 5.2.4 The [QAA Quality Code](#), Research Council Guidelines and the University's own policy place considerable emphasis on providing students/doctoral candidates with discipline-specific and transferable skills training, appropriate taught classes and contact with an appropriate research community. Arrangements for external research students/doctoral candidates must take this into account.
- 5.2.5 In order to expedite requests for approval of external research students/doctoral candidates, the appropriate *Pro Forma* (Annex 3) must be completed and signed by the Head of Department/ School, appropriate signatories in the external agency. Approval requests to the Head of Department/ School must confirm that the appropriate *Pro Forma* has been completed with copies returned to SEES and the Faculty Office.

5.3 *Jointly Supervised Students/Doctoral Candidates*

- 5.3.1 As is the case for external research students/doctoral candidates, the arrangements for jointly supervised students/doctoral candidates (i.e. where two supervisors share the 1st Supervisor role and responsibilities) will follow the normal procedures and guidelines for postgraduate research programmes set out elsewhere in this document, unless specific alternative provision is agreed by Senate.
- 5.3.2 The [QAA Quality Code](#), Research Council Guidelines and the University's own policy place considerable emphasis on providing students/doctoral candidates with researcher professional development skills training through appropriate activities and contact with an appropriate research community. Arrangements for jointly supervised students/doctoral candidates must take this into account, including consideration of the Postgraduate Certificate in Researcher Professional Development.
- 5.3.3 In order to expedite requests to the Head of Department/ School of jointly supervised students/doctoral candidates, the appropriate *Pro Forma* (Annex 4) must be completed and signed by the Head of Department/ School, appropriate signatories in the external agency and the relevant Vice-Dean. Approval requests to Senate must confirm that the appropriate *Pro Forma* has been completed with copies returned to SEES and the Faculty Office.

6 **Supervision of Students/Doctoral Candidates**

6.1 *General Responsibilities of Department/ School or Faculty*

- 6.1.1 A postgraduate research student/doctoral candidate may be admitted to study in a Department/ School or in a Faculty or Centre for Doctoral Training. The

Responsible Person in the Department/ School or Faculty or Centre for Doctoral Training ensures that:

- i. the student/doctoral candidate has access to appropriate working space and has adequate facilities and resources available to them;
- ii. access to appropriate equipment is made available for the research student/doctoral candidate to use when required;
- iii. the student/doctoral candidate is made aware of what other facilities/resources are available to them within the Department/ School, the University and elsewhere (as appropriate);
- iv. the student/doctoral candidate is made aware of University and Department/ School regulations and practice in respect of: Health and Safety; Research Ethics; Academic Honesty; Intellectual Property; Equal Opportunities; Racial Equality; Data Protection and other provisions required by University or legal statute;
- v. arrangements are made to provide the student/doctoral candidate with adequate feedback on progress with his or her studies as described in Section 9;
- vi. the student's/doctoral candidate's programme complies with University regulations in respect of the the Postgraduate Certificate in Researcher Professional Development (60 credits);
- vii. the student/doctoral candidate is provided with opportunities to engage in researcher professional development skills training (see the *Researcher Development Statement* at Annex 1 to this *Code of Practice and Policy* document); and
- viii. appropriate arrangements are made for monitoring supervision arrangements and student/doctoral candidate progress (see Section 9).

6.2 *Academic Counsellor*

- 6.2.1 The University requires that each student/doctoral candidate has ready access to a member of academic staff other than their Supervisor with whom to discuss any concerns or seek advice on a confidential basis. Such discussions may include the student's/doctoral candidate's relationship with the Supervisor or problems associated with the effectiveness of supervision. This role may be fulfilled by the Second Supervisor, the Responsible Person or an identified Academic Counsellor or Postgraduate Tutor (or equivalent by another title).

6.3 *Appointment of Supervisors*

- 6.3.1 At the start of each student's/doctoral candidate's research programme the Responsible Person nominates a Supervisor and a Second Supervisor (and possibly a Third Supervisor in relevant cases) for approval by the relevant Head of Department/ School.

6.3.2 The Supervisors will normally be members of academic staff or research staff at least one of whom shall be on Teaching and Research Grade 8 (or above) who has been appointed under Ordinance 4.2. The Head of Department/ School has responsibility for appointing appropriate supervisor(s). Where appropriate, the Head of Department/ School may also appoint a work-based professional to act in the capacity of a mentor.

6.3.3 Each Faculty will run its own staff development programme for supervisors of postgraduate research students/doctoral candidates in consultation with the [Organisational and Staff Development Unit](#) (OSDU). All staff who are acting as Supervisors for the first time are required to complete the relevant Faculty programme, unless they can demonstrate that they have undertaken equivalent training elsewhere. Academic staff are also encouraged to participate in other OSDU and national events and training relevant to the supervision of postgraduate research.

6.4 *The Supervisor*

6.4.1 The Supervisor will have appropriate expertise in the field of research. In addition, the University requires that:

- the Supervisor will normally have experience of at least one successful supervision as a second supervisor. Subsequently, the first time they act as a First Supervisor, they will be supported by an experienced Second Supervisor;
- in appointing supervisors, Faculties take into account the overall workload of the individual, including teaching, research, administration and other responsibilities and professional commitments, such as external examining, consultancy or clinical responsibilities, and recommends that a Supervisor with a full load of teaching and administrative duties in addition to research will not normally supervise more than six students/doctoral candidates concurrently (i.e. a 6 full time equivalent load);
- all new Supervisors complete mandatory supervisor training (the Admissions team within Student Experience and Enhancement Services holds a list of qualified Supervisors for each Faculty); and
- the Supervisor agrees the purpose and frequency of informal supervisory meetings and formal monitoring arrangements with the student/doctoral candidate, both to ensure that adequate support is being provided for the student/doctoral candidate and that there are sufficient opportunities for formal monitoring of progress and forward planning. The outcomes of meetings must be recorded. The record of informal supervisory meetings is likely to be different from and less detailed than the formal record of the Intermediate Assessment or the annual review. The student/doctoral candidate can be asked to keep the record of informal meetings and provide the Supervisor with a copy of this record. This may be facilitated by the introduction of electronic logs, perhaps as part of student/doctoral candidate personal development planning.

6.4.2 If the Supervisor is to be absent from the University for a period of four weeks or longer, then the Responsible Person will ensure that alternative supervisory arrangements are made, normally involving the Second Supervisor.

6.5 *Responsibilities of the Supervisor*

6.5.1 The following duties and actions are the responsibility of the Supervisor although he or she may arrange for the Second Supervisor to assist or deputise. The Supervisor:

- i. establishes contact with the student/doctoral candidate at the outset of the programme of research and facilitates introductions to the relevant research community, and the wider Department/ School, Faculty and University communities;
- ii. ensures that the student/doctoral candidate is appropriately informed about:
 - relevant academic services, particularly the Library, OSDU and how to seek assistance;
 - other relevant student/doctoral candidate support and welfare services and how to seek assistance;
 - any requirement for seeking ethical approval for relevant aspects of their research work, and the process for securing such approval;
 - requirements to undertake instructional courses;
 - any requirements for progress, intermediate assessment and final award;
 - any arrangements for joint supervision with other Departments/ Schools or Faculties in the University or with other organisations;
 - any funding sponsor requirements;
 - opportunities for the student/doctoral candidate to provide general feedback through staff/student committees or otherwise;
 - opportunities for the student/doctoral candidate to resolve personal concerns (see paragraphs 6.2);
 - any opportunities for the student/doctoral candidate to undertake teaching or demonstrating duties;
 - his or her own responsibilities as set down in paragraph 6.10;
 - requirement to undertake the Postgraduate Certificate in Researcher Professional Development and the opportunities available for this;
 - any requirements placed on the programme of study by the terms of the studentship they hold.
- iii. confirms the area of research to be studied and ensures that the student/doctoral candidate has a copy of this *Policy and Code of Practice* and any other relevant information;
- iv. provides guidance about the nature of research and the standard expected;
- v. assists the student/doctoral candidate in planning his or her research programme, identifying the different stages involved and the likely time-scales for completion;
- vi. agrees an overall plan with the student/doctoral candidate and a plan for each stage of the research programme;

- vii. ensures that students who have registered initially for a Masters level programme, with a view to progressing to a Doctoral programme, are aware that progress to the Doctoral programme is not automatically achieved by passing the Masters level programmes and explains what he or she must do to demonstrate an ability to progress to Doctoral level;
- viii. arranges regular contact with the student/doctoral candidate and to be accessible at other times as appropriate. (Note that some Faculty Codes of Practice specify the expected frequency of formal student/(doctoral candidate)/supervisor contact);
- ix. encourages the student/doctoral candidate, where appropriate, to attend and to present papers and posters at seminars, conferences, etc. relevant to their area of research;
- x. ensures that provision is made for the personal development of the student/doctoral candidate;
- xi. assesses the student's/doctoral candidate's progress and reports to the Responsible Person on student/doctoral candidate progress as described in Section 9;
- xii. provides feedback to the student/doctoral candidate on progress. If overall progress is reported as unsatisfactory at any stage, and particularly at the formal intermediate assessment stage, the Supervisor will explain clearly to the student/doctoral candidate, and specify in writing, what the student/doctoral candidate needs to do, and in what time-scale, in order to rectify the situation. The Supervisor will report any instances of unsatisfactory progress to the Responsible Person and to the appropriate Vice-Dean who will take action as necessary, each case being assessed on an individual basis;
- xiii. advises the student/doctoral candidate on, and approves, the **final form** of his or her thesis. [*note: notwithstanding this requirement, it is the student's/doctoral candidate's responsibility to decide after consultation with the Supervisor when the standard of the dissertation or thesis is sufficient to submit for assessment. The Supervisor's approval of the final form of the submission should not be taken as an indication of the outcome of the assessment and may not form the basis of an appeal.*]
- xiv. supports and assesses any class(es) (RD901-RD906) associated with the Postgraduate Certificate in Researcher Professional Development, which is compulsory to allow arrangement of the Viva.

6.6 *The Second (and Third) Supervisor*

- 6.6.1 The Second Supervisor (and Third Supervisor where relevant) should be knowledgeable in the general area of study but does not have to have the specific expertise of the Supervisor. However, in cases where the Second Supervisor is acting (in effect) as co-First Supervisor, the requirements outlined in section 6.5 apply.
- 6.6.2 The primary responsibility for supervision will rest with the Supervisor but where appropriate and by agreement between the two supervisors, the Second Supervisor may share the duties of the Supervisor.

6.7 *Responsibilities of the Second Supervisor (and Third Supervisor, where applicable)*

6.7.1 The Second (and/or Third) Supervisor

- i. makes contact with the student/doctoral candidate as soon as practicable after the student/doctoral candidate commences his or her programme of study and research;
- ii. contributes to the supervision of the student/doctoral candidate as agreed with the Supervisor; and
- iii. deputises for the Supervisor in the event of any planned or unplanned absences of the Supervisor.

6.8 *External Supervisors*

6.8.1 In many areas of the University, it is common practice to appoint an external supervisor to cover, for example, industrial or clinical aspects of the programmes. This external supervisor is in addition to the University Supervisor and Second Supervisor. Details on external examiner duties and responsibilities are available [here](#).

6.9 *Changing Supervisor*

6.9.1 The University requires that a mechanism should be in place for a change of supervisor to be made if this is judged to be necessary, e.g. if there is a failure to establish a satisfactory working relationship between student/doctoral candidate and Supervisor or if the Supervisor will be absent from the University for a prolonged period. In the first instance the Second Supervisor shall assume the main supervisory responsibilities while alternative arrangements are considered and put in place if necessary. Where the project and/or funding supporting the student/doctoral candidate is tied to the original supervisor, then, subject to the student/doctoral candidate achieving satisfactory academic progress, it is the department's/ School's responsibility to identify an alternative project and/or funding to support the student/doctoral candidate to the completion of their studies.

6.9.2 If the student/doctoral candidate is dissatisfied with the supervision he or she is receiving the student/doctoral candidate should contact their Academic Counsellor, the Postgraduate Tutor in the Department/ School or Faculty (or their equivalent by another title), or the Responsible Person.

6.10 *Responsibilities of the Student/Doctoral Candidate*

6.10.1 The student/doctoral candidate also has responsibilities within the arrangements for their own supervision and is required to:

- i. maintain regular contact with the Supervisor;
- ii. take the initiative in raising any problems, (relevant) issues, or difficulties with the Supervisors or, if appropriate, the Responsible Person or the Academic Counsellor or Postgraduate Tutor (or their equivalent by another title);

- iii. seek advice from the student academic and support services as appropriate;
- iv. maintain progress in accordance with the agreed plan of work;
- v. attend any activity which contributes to the Postgraduate Certificate in Researcher Professional Development which has been agreed with the Supervisor;
- vi. be in regular attendance in the Department/ School/ Faculty or other assigned place of study;
- vii. ensure that permission is granted for any absence (even to conduct research in another place) by contacting the Supervisor: the student/doctoral candidate must also notify Student Experience and Enhancement Services of any absences greater than 7 days;
- viii. make regular reports on progress to the Supervisor (in some Faculties the Supervisor and student/doctoral candidate agree a format and a timetable for this);
- ix. make occasional presentations on progress with the research to his or her research group, other students/doctoral candidates or other appropriate fora as indicated by the Supervisor or the Responsible Person;
- x. decide, after consultation with the Supervisor, when the standard of the dissertation or thesis is sufficient to submit for assessment. The Supervisor's advice on the final form of the submission should not be taken as an indication of the outcome of the assessment and may not form the basis of an appeal;
- xi. make themselves aware of and observe University and Department/ School Regulations in respect of: Health and Safety; Research Ethics; Academic Honesty; Intellectual Property; Equal Opportunities; Racial Equality; Data Protection and other provisions required by University or legal statute; and
- xii. observe any other conditions or regulations that may be specified by the Faculty or Department/ School.

7 The Development of Research and Other Skills (including the Postgraduate Certificate in Researcher Professional Development)

7.1 Taught Elements of Research Degrees

7.1.1 Postgraduate research degrees can include appropriate taught elements to ensure that students/doctoral candidates have opportunities to develop discipline-specific and transferable skills. The classes which contribute towards the Postgraduate Certificate in Researcher Professional Development have no formal curriculum, and students can achieve credit for any activity which develops their skills, knowledge and capabilities, and meets the learning outcomes of a class. Students may however, choose to undertake a taught element to achieve their credit requirement.

7.1.2 Students/doctoral candidates will not normally be allowed to proceed to the final assessment of the research element of their studies until they have successfully completed the required taught elements of the programme requirements to the satisfaction of the Responsible Person or, in the case of the EdD and DBA, the relevant Taught Degree Board of Examiners.

- 7.1.3 The Responsible Person may grant exemption from elements of coursework if an entrant student/doctoral candidate has already successfully completed an appropriate postgraduate taught programme or can provide appropriate evidence of prior learning for accreditation in relevant areas.

7.2 *University Researcher Development Programme*

- 7.2.1 The University will provide opportunities for all research students/doctoral candidates to access researcher professional development skills training through the Researcher Development Programme (RDP). Strathclyde's RDP is delivered by Faculties, Professional Services and external partners to offer the research community a range of opportunities to continue their personal, professional and career management skills development. Supported by a team within Research and Knowledge Exchange Services (RKES), courses, events, programmes, funding opportunities and e-provision aim to help researchers enhance their core skills and competencies, and widen their scope for future employability both inside and outside academia.

All research students/doctoral candidates will be expected to meet the requirements as stipulated in course regulations relating to credit-bearing researcher development skills training.

This programme adheres to the relevant standards and expectations set out by research funders, and within the [UK Quality Code for Higher Education - Chapter B11: Research degrees](#), [European Charter for Researchers](#), [UK Concordat to Support the Career Development of Researchers](#) and the [Researcher Development Framework and Statement \(RDF/S\)](#), and any other subsequent nationally agreed policy.

- 7.2.2 The University aims to provide all research students/doctoral candidates with:

- a proper understanding of the importance of academic honesty in the conduct of research;
- an awareness of what constitutes academic dishonesty and how to avoid it; and
- a knowledge of the appropriate standards for academic writing in their field of study.

(See the [University Procedures and Guidelines for Dealing with Possible Instances of Academic Dishonesty](#). See also the [University of Strathclyde Research Code of Practice](#).)

8 **Feedback and Representation**

- 8.1 The University encourages feedback from postgraduate research students/doctoral candidates on any aspect of their studies and learning environment through their representatives on:

- Research and Knowledge Exchange Committee

- Faculty and Department/ School Student/Staff Committees
- University of Strathclyde Students' Association Postgraduate Committee and other related committees.

and through any other appropriate channels.

9 Progress, Review and Assessment

9.1 Students Initially Registered for a Masters Level Programme

9.1.1 Students who register initially for a Masters level programme (including through the ESRC's 1+3 studentships arrangement) with a view to progressing to a Doctoral programme must be clearly advised that progression to the Doctoral programme is not automatically achieved by passing the Masters level programme. They also need to demonstrate an ability to progress to Doctoral level with anticipated satisfactory performance at that level, and within an appropriate timescale especially when associated with studentship funders' requirements.

9.2 Progress Meetings, Online Progress Records and Progress Review

9.2.1 The University provides online systems for the maintenance of formal progress review records (outlined in section 9.4).

9.2.2 Assessment of overall progress is based on the student's/doctoral candidate's oral and written reports, on their research, and any other relevant information such as presentations, literature surveys and assessment of instructional feedback to the student/doctoral candidate on progress and whether progress is satisfactory.

9.2.3 The written records are updated at least every 6 months for students/doctoral candidates studying full-time. Updating frequency is adjusted appropriately for students/doctoral candidates undertaking non-consecutive study. These records must indicate what feedback has been given to the student/doctoral candidate.

9.2.4 Each student/doctoral candidate is asked to sign and date his or her progress record online confirming that he or she has seen and understood the feedback.

9.2.5 In consultation with the Supervisors, the Responsible Person (or nominee) reviews this feedback process on behalf of the Department/ School and Faculty and ensures that the online review record of each student's/doctoral candidate's progress is being maintained. If the Responsible Person is also a Supervisor, he or she nominates an appropriate member of the Department/ School or Faculty to carry out this review.

9.2.6 The University has introduced a core set of questions across the institution to be used for interim and annual reviews with supplementary Faculty based questions. The process includes an annual review of each student/doctoral candidate by a Panel including at least one person independent of the supervisory team. Towards the end of the first year of study, this review takes the form of the Intermediate Assessment of Doctoral Students/(Candidates) (see paragraphs 9.3).

- 9.2.7 Students are able to view their completed online review, feedback and progress decisions in line with Data Protection legislation.
- 9.2.8 If overall progress is reported as unsatisfactory at any stage, and particularly at the formal intermediate assessment stage, the Supervisor will explain this clearly to the student/doctoral candidate and specify in writing what the student/doctoral candidate needs to do, and in what time-scale, in order to rectify the situation. The Supervisor will report any instances of unsatisfactory progress to the Responsible Person and to the appropriate Vice-Dean who will take action as necessary, each case being assessed on an individual basis.
- 9.2.9 Failure to rectify the situation may result in termination of or a change in the student's/doctoral candidate's registration. (See *Regulations 20.1.27-34, and 20.2.26-33 (Doctoral level), and 20.3.22-25 and 20.4.29-32 (Masters level).*)

9.3 *Intermediate Assessment of Doctoral Candidates*

- 9.3.1 Normally within twelve months of starting full-time study or an equivalent period of non-consecutive study, the Responsible Person (or nominee) carries out the formal intermediate assessment of progress against criteria specified by the Department/ School or Faculty.
- 9.3.2 The Supervisor provides written details of the intermediate assessment and criteria to the student/doctoral candidate at the outset of his or her doctoral studies and reinforces this information orally during the induction period.
- 9.3.3 Students/doctoral candidates must pass this intermediate assessment before being allowed to proceed with work for the Doctorate.
- 9.3.4 In certain circumstances, the Responsible Person may waive the requirement for intermediate assessment for Doctoral candidates who have already successfully completed an appropriate Masters level programme.

9.4 *University Monitoring*

- 9.4.1 Student/doctoral candidate progress is monitored and formally recorded annually, leading to completion of Interim and Annual online progress/review records.

NEPTUNE is the student administration system used by the Strathclyde Business School, HaSS and Engineering Faculties. NEPTUNE will notify students by email (and cc supervisors/admin staff) when a progress review is due. This will invite them to start the review process by logging onto NEPTUNE and completing a core set of online institutional questions. Built in online workflow triggers an email to the supervisor/admin staff on completion of the question set. NEPTUNE is located at: <https://www.sbs.strath.ac.uk/neptune/>. More information [for students can be found at:](#)

- [Strathclyde Business School](https://www.strath.ac.uk/business/research/progressreviews/)
- [Humanities and Social Sciences](#)

<http://www.strath.ac.uk/humanities/courses/gradschool/progressreviews/>

- [Engineering](http://www.strath.ac.uk/engineering/postgraduates/currentstudentinfo/reviews/)
<http://www.strath.ac.uk/engineering/postgraduates/currentstudentinfo/reviews/>

In the Faculty of Science the progress of students/doctoral candidates is monitored and formally recorded using the SPIDER student administration system. Spider will notify students by email (and cc supervisors/admin staff) when a progress review is due. This will invite them to start the review process by logging onto SPIDER and completing a set of core online questions. Built in online workflow triggers an email to the supervisor/admin staff on completion of the question set. SPIDER is located at <http://spider.science.strath.ac.uk/>.

All students/doctoral candidates in Science are expected to use the system to complete quarterly and annual progress forms. SPIDER will automatically email a candidate in advance of the submission deadline of any progress form. Supervisors may also use the system to complete relevant sections of progress forms, which candidates may see at any time.

Departmental and Faculty Administrators are able to view reports on overall progress and generate reminders if required to prompt candidates or Supervisors to complete outstanding progress forms and to return statistical data to the Centre. Further information and help guides can be found at: http://spider.science.strath.ac.uk/help/index.php/Postgraduate_records.

10 Final Assessment

10.1 University Guidance for External Examination of Research Degrees

10.1.1 Full and detailed information associated with external examination of research degrees is available at: <http://www.strath.ac.uk/staff/policies/academic/>. The information following in this document provides summary information primarily for Doctoral Candidates and research students.

10.2 Submission of Thesis (Doctoral level) or Dissertation (Masters level)

10.2.1 Students/doctoral candidates should consult with their Supervisor when their thesis is ready for submission and should notify the Responsible Person accordingly. For full-time doctoral programmes, this normally occurs three months prior to the expected date of submission.

10.2.2 Some Faculties have an 'Intention to Submit Thesis' form which must be completed within the relevant timescale relative to formal submission.

10.2.3 Regulations 20.6 (see Part 3 of the [University Regulations](#)) set out the conditions to be met for the format and submission of dissertations and theses. Faculties and departments/ schools may have additional conditions or regulations.

10.2.4 A Thesis is deemed to have been formally submitted on the date it is transmitted to SEES for examination.

10.3 Appointment of the Examining Committee and External Examiners

10.3.1 The Examining Committee normally comprises at least two active researchers – an Internal Examiner who is not part of the supervisory team and an External Examiner (two External Examiners in the case of a Doctorate by Publication) – and a Convenor, who is not part of the supervisory team (See 10.5.1 and Annex 2).

10.3.2 The Responsible Person, in consultation with the Supervisors and the relevant Vice-Dean of the Faculty, nominates the members and the Convenor of the Examining Committee for endorsement by the Vice Dean and Quality Assurance Committee. The Examining Committee should be appointed and approved before the thesis is submitted.

10.4 The External Examiner

10.4.1 The External Examiner will in many cases be a senior academic in an institution of at least equivalent reputation to the University of Strathclyde in the subject area in question. He or she will normally be expected to have a proven publication record in the field of study. Nomination forms for external examiners are available at:

<http://www.strath.ac.uk/studentlifecycle/examinformationforstaff/>.

10.4.2 In some cases (in respect of relevant programmes such as the EngD and Professional Doctorates) Examiners from industry, commerce, professional practice and other organisations may be best suited to examining the research.

10.4.3 Additionally an External Examiner should not normally:

- be an honorary member of the University of Strathclyde;
- have been a member or honorary member of the staff of the University of Strathclyde in the three years prior to the assessment or whilst the student/doctoral candidate has been carrying out research at the University if this is more than three years;
- have had any significant contact of a supervisory nature with the student/doctoral candidate or his or her research project; or
- be appointed in one Faculty more than five times in three years.

10.5 The Internal Examiner

10.5.1 The Internal Examiner is expected to have sufficient knowledge and understanding of the topic to enable him or her to judge the quality of the thesis and to play a full part in the examination.

10.6 The Convenor

10.6.1 The Convenor will be a member of staff of the University who is not the Supervisor or Second Supervisor.

10.6.2 The Convenor will not also be one of the Examiners.

10.6.3 The Convenor is responsible for convening the committee, ensuring the receipt of preliminary reports from the Examiners, and for resolving any disagreements that may arise (see paragraph 10.8.6).

10.7 Operation of the Examining Committee

10.7.1 The Examiners scrutinise the candidate's dissertation or thesis and are required to submit an individual written critique to the Convenor prior to a meeting of the Examining Committee.

10.7.2 The Examining Committee normally conducts an oral examination for Doctoral candidates. For Masters candidates, the Committee may at its own discretion:

- conduct an oral examination;
- meet to confirm the outcome without conducting an oral; or
- complete the assessment by correspondence.

10.7.3 For both Doctoral and Masters orals, the Convenor of the Examining Committee may, after consultation with the candidate, invite the Supervisors to attend the oral examination and dissertation of the examiners in a non voting capacity.

10.8 Recommendations of the Examining Committee

10.8.1 The Examining Committee bases its recommendation on the candidate's thesis and, if appropriate, his or her performance in any oral examination.

10.8.2 The Examining Committee makes its recommendations to the Vice Dean for approval.

10.8.3 Recommendations may be any one of the following:

- i. approval of the award of the degree by the Vice Dean;
- ii. approval of the award of the degree by the Vice Dean; after minor amendments to the thesis (Doctoral level) or Dissertation (Masters level) have been made subject to the satisfaction of the Internal Examiner;
- iii. the thesis (Doctoral level) or Dissertation (Masters level) be revised in the light of advice from the Examiners and resubmitted for the same degree within a specified period;
- iv. the Doctoral thesis is not of the standard required but
 - may be accepted as satisfying the requirements of a Masters degree. In this event the Examiners shall report to the relevant Board of Study which will submit to the Vice Dean a full and detailed statement; or
 - may be amended and submitted for a Masters degree;

- v. no degree be awarded and there be no right of resubmission.
- 10.8.4 The Examiners prepare and sign a joint report that includes a summary *Pro Forma*. A hard copy version of the form is sent to the External Examiner by SEES together with the thesis and other relevant information.
- 10.8.5 The Examiners' Report will either make an agreed recommendation or record particulars of any disagreement along with a proposal for resolution. The Report should provide clear justification for the Examining Committee's decision and Examiners should be aware that this is likely to be made available to the candidate.
- 10.8.6 In the event of small differences of judgement within the Examining Committee, External Examiners' views will normally prevail.
- 10.8.7 The Convenor must report more significant disagreements to the Faculty Board of Study together with a proposal for resolution. The Convenor may in such circumstances seek approval from the Board of Study for the appointment of a second External Examiner.
- 10.8.8 The Convenor will return the Examiners' Report to SEES, countersigned to certify that all the instructional elements of the course have been successfully completed, and inform the candidate and the Responsible Person of the outcome and recommendations of the Examining Committee. SEES will forward any award recommendation to the Faculty Board of Study and Senate for ratification.
- 10.8.9 SEES will provide a written confirmation to the candidate subject to ratification by the Board of Study and Senate.
- 10.8.10 For a candidate who is required to resubmit, the Convenor or Internal Examiner will communicate to him or her what further work is required.
- 10.8.11 For further information see the [University Guidance for Examiners of Research Degrees](#).

11 Academic Integrity

- 11.1 The [University Procedures and Guidelines for Dealing with Possible Instances of Academic Dishonesty](#) should be followed in all cases of alleged academic dishonesty and, in particular, in all instances staff should endeavour to ensure that appropriate communication has taken place with the student/doctoral candidate regarding the allegations and possible subsequent actions and outcomes. The student/doctoral candidate must be afforded appropriate opportunity to discuss the matter and intimate any mitigating circumstances.

12 Academic Appeals

- 12.1 The letter to a student/doctoral candidate informing him or her of a decision to transfer or terminate his or her registration or not to award a degree includes notification of the right to appeal in writing to the Faculty Board of Study on any of the grounds set down in Regulations 20.1.35-36 and 20.2.34-35 (Doctoral level) and 20.3.26-27 and 20.4.33-35 (Masters level) (see [Part 3 of the University Regulations](#)).

- 12.2 The letter also gives notice of the date by which the student/doctoral candidate must lodge any appeal with the Faculty Manager. Students/doctoral candidates may obtain further information on the appeals process from the Faculty Manager where necessary.
- 12.3 The Faculty sets up an Appeals Panel of impartial academic staff with a Senior Academic Officer of the Faculty as Convenor. The Faculty Appeals Panel decides the outcome of the Faculty Appeal, operating in accord with the principles of natural justice and the maintenance of academic standards.
- 12.4 In the event that the Faculty does not uphold a student's/doctoral candidate's appeal, the student/doctoral candidate is informed of this and of his or her further right of appeal to Senate. A student/doctoral candidate must submit his or her Senate Appeal to the Governance Team within six weeks of the outcome of the preceding Faculty Appeal being notified to the student/doctoral candidate.
- 12.5 Students/doctoral candidates may obtain further information on the appeals process from the Committee Manager to the Senate Appeals Committee where necessary.
- 12.6 The Senate sets up an Appeals Committee of impartial Senate members with a Senior Academic Officer of the University as Convenor. The Senate Appeals Committee makes a final decision on the Senate Appeal, operating in accord with the principles of natural justice and the maintenance of academic standards.
- 12.7 Students/doctoral candidates may obtain assistance in preparing appeals from the Student Advisory and Counselling Service or the University of Strathclyde Students' Association.

13 Student/Doctoral Candidate Complaints other than Academic Appeals

- 13.1 Students/doctoral candidates are encouraged to raise any complaints about their studies or about University services directly with those concerned in the first instance. University staff will consider such complaints fairly and do their best to resolve any difficulties.
- 13.2 If a student/doctoral candidate is dissatisfied with the response to an informal complaint/enquiry/request for assistance, then a formal written complaint may be made to the Responsible Person or the Director/Head (as appropriate) of the Support Service concerned.
- 13.3 If the student/doctoral candidate remains dissatisfied with the response to a first formal complaint, then he or she can pursue the matter further, making a final complaint by writing to:
- i. the Dean of the Faculty concerned (in the case of complaints about academic matters);
 - ii. the University's Chief Operating Officer (in the case of complaints about services or about discrimination or harassment).

- 13.4 The recipient of a formal written complaint (first or final) will appoint a reviewer to consider the complaint in confidence and without bias. The reviewer may be the recipient of the formal complaint themselves or his or her nominee(s). The reviewer consults as appropriate and keeps the student/doctoral candidate informed of the progress of enquiries, reporting the final outcome to the student/doctoral candidate as soon as practicable.
- 13.5 Further information can be found in the [Complaints Handling Procedure](#).

14 Health and Safety

- 14.1 Heads of Department/ School are ultimately responsible for Safety within their Departments/ Schools. Supervisors each have a copy of the Area Safety Regulations for their Department/ School and any other safety regulations relevant to their area and must ensure that the student/doctoral candidate is made aware of relevant regulations.
- 14.2 Heads of Department/ School are responsible for ensuring that adequate health and safety training is provided for all research students/doctoral candidates working in their Department/ School.

Schedule of Policy Updating

The above noted policy was approved by Senate and Court in 2005

First substantive update – 2009/10 Session

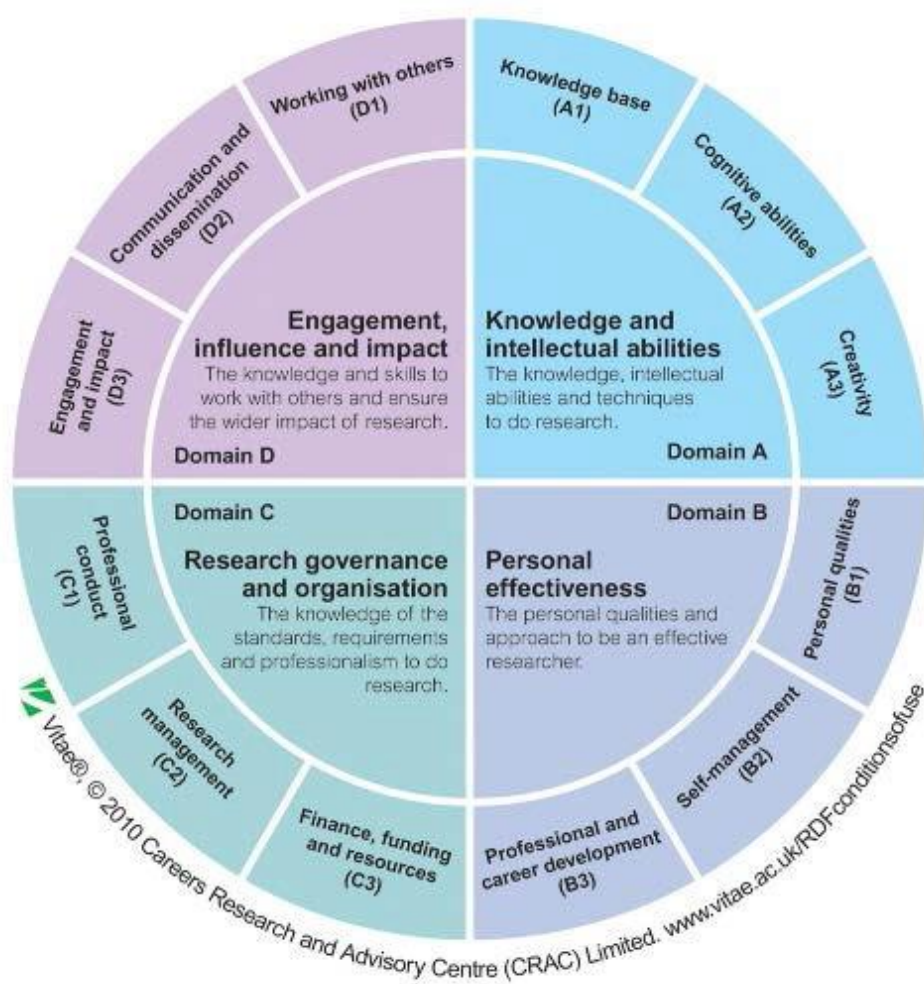
Updates approved by Senate September 2010, March 2012

Subsequent formal updates required every 3 years: 2012/13; 2015/16; 2018/19 etc.

In between formal updates, interim updates to be undertaken on specific points of the policy as required.

Researcher Development Statement endorsed by the Research Councils

The Researcher Development Statement (RDS) sets out the knowledge, behaviours and attributes of effective and highly skilled researchers appropriate for a wide range of careers. Strathclyde's Postgraduate Certificate in Researcher Professional Development, and the Researcher Development Programme (RDP) is mapped to the RDS to ensure researchers select appropriate training and professional development opportunities, and can identify and contextualise the learning outcomes. The Researcher Development Statement, which replaces the Joint Skills Statement, is endorsed by the Research Councils and may be downloaded from the following link: <http://www.vitae.ac.uk/rds>



Annex 2

Degree Type	<u>Research Doctorate</u>	
	Characteristics	
	Standard Route	By Publication
Eligibility	For internal/external candidates and staff*	University staff* and external applicants
Prerequisites	1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.	1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.
Format/ components	Degree award primarily by Thesis/Independent research and viva. Must also take 15 - 60 credits of training dependant on programme (1+3, +3, or 4 year models).	Degree award following assessment of candidate's selected publications and Thesis/Critical Appraisal of research methodology and contribution to knowledge, and oral/viva.
Duration: Full time	Minimum (if Masters degree held in relevant subject) = 24 months; otherwise for PhD = 36 months, PhD in a DTC = 48 months EngD = 48 Months Max: PhD = 48 months, EngD & DBA = 60 months	n/a
Duration: Part time	Minimum and Maximum = equivalent of progress expected for full-time, <i>pro-rata</i> . For staff member, PhD = 96 months (for p/t study)	Min. = 12 months Max = 48 months
Structure	<p>PhD candidates (36 months) to undertake classes RD901, RD902, RD903, RD904 and RD905 of skills training leading to an award of the Postgraduate Certificate in Researcher Professional Development.</p> <p>This version of the guidelines applies to students commencing study on or after 1 October 2013.</p> <p>EngD and PhD (DTC) candidates to include taught classes or research training (min 15, max 210 credits).</p> <p>In addition, a programme of research approved by the relevant Board of Study, leading to full thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for researcher professional development skills training is possible as per the regulations.</p> <p>For University staff, the Thesis may comprise (in part) work previously published by the candidate. Any work thus presented may not have been presented in part or in whole in fulfilment of the requirements for any other degree award, and may not be used in a similar way again in future).</p>	<p>The process follows three basic stages:</p> <ul style="list-style-type: none"> - Application stage: providing 1,000 - 1,500 word rationale - Prima-facie stage: selection of portfolio of published works and brief written critique (c. 5,000 words) - Substantial Thesis/Critical Appraisal (no more 40,000 words) <p>The Thesis submitted by a staff member may consist wholly (or substantially) of work previously published by the candidate, provided the Thesis is so composed as to present a connected record of research in a field of study, and that it has not been presented in full or partial fulfillment of the requirements for any other degree award (and will not be used in this way again in the future).</p>
Participants	Doctoral Candidates	Doctoral Candidates

Assessment Type	Required to complete coursework satisfactorily. Examined by Thesis (max. 100,000 words) review, any relevant coursework, and oral/viva examination. Independent research expected to be original and contribute to knowledge.	Required to complete prerequisites before progression to Thesis/Critical Appraisal. Examined by Thesis/Critical Appraisal (no more than 40,000 words), and oral/viva examination. Independent research expected to be original and contribute to knowledge.
Contribution of Thesis/ Independent	Thesis and oral (viva) comprise the whole of assessable output for the final award (for PhD) and the majority for EngD (i.e. >51%).	Thesis/Critical Appraisal comprises the whole of assessable output for the final award.
Supervision	At least 2 named supervisors specifically appointed for the candidate, at least one (1st supervisor) being a full-time member of academic staff (EngD to include an industrial supervisor).	Supervisor appointed, essentially as a mentor. In addition, direct involvement of Vice-Dean Research and Departmental Research Director (or equivalent).
Internal Examiner(s)	At least 1 named internal examiner	At least 1 named internal examiner
External Examiner(s)	For PhD - at least 1 named external examiner specifically appointed for the candidate (2 if the candidate is a member of University staff). For EngD - 2 external examiners, the 2nd being from a different academic discipline than the academic supervisor	At least one external for Prima-facie stage. If successful at prima-facie stage, an Examination Committee to be established as per University standard requirements for PhD (by Research), which includes at least 2 named externals.
Researcher Professional Development Skills Training	Minimum 60 credits, or as stipulated in course regulations. Regulations from the previous version of this policy are applicable to students who registered prior to 1 October 2013.	n/a
Credit rating	n/a	n/a
Level of award	pass/MPhil/fail	pass/fail
Titles of Awards	Common Accepted Titles: PhD, EngD	Common Accepted Titles: PhD, EngD

Note: * - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

Degree Type	<u>Professional Doctorate</u>	
	Characteristics	
	Standard	By Publication
Eligibility	For internal/external candidates and staff*	University staff* and external applicants
Prerequisites	1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.	1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.
Format/components	Degree award primarily by Dissertation/Independent research and viva. Must also take 60 credits of research methods and techniques training, and 60 credits of specialist knowledge, in addition to generic skills training.	Degree award primarily by Thesis/Independent research and viva. Must also take 60 credits of research methods and techniques training, and 60 credits of specialist knowledge, in addition to generic skills training.
Duration: Full time	Minimum 36 months Maximum 60 months	n/a
Duration: Part time	Minimum and Maximum = equivalent of progress expected for full-time, <i>pro-rata</i> . For staff member, PhD = 96 months (p/t study)	Min. = 12 months Max. = 48 months
Structure	Directed study on (i) research methods, and (ii) areas of specialist knowledge, both at minimum 60 credits each. Plus, a scheme of research leading to a Thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for classes or research training is possible, but not usually exceeding 50% of the credits appropriate to the course or 60 credits where this is less. For University staff, the Thesis may comprise (in part) work previously published by the candidate. Any work thus presented may not have been presented in part or in whole in fulfilment of the requirements for any other degree award, and may not be used in a similar way again in future.	Directed study on (i) research methods, and (ii) areas of specialist knowledge, both at minimum 60 credits each. Plus, a scheme of research leading to a Thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for classes or research training is possible, but not usually exceeding 50% of the credits appropriate to the course or 60 credits where this is less. The Thesis submitted by a staff member may consist wholly (or substantially) of work previously published by the candidate, provided the Thesis is so composed as to present a connected record of research in a field of study, and that it has not been presented in full or partial fulfilment of the requirements for any other degree award (and will not be used in this way again in the future).
Participants known as	Doctoral Candidates	Doctoral Candidates
Assessment Type	Required to complete coursework & professional practice (potential exists for Credit Transfer and/or Recognition of Prior Learning (maximum 50% or 60 credits). Examined by Thesis maximum 60,000 words) and oral/viva. Independent research expected to be original and contribute to knowledge.	Required to complete coursework & professional practice (potential exists for Credit Transfer and/or Recognition of Prior Learning (maximum 50% or 60 credits). Examined by Thesis maximum 60,000 words) or Critical Appraisal (max. 40,000 words), and oral/viva. Research to be original and contribute to knowledge.

Contribution of Thesis/ Independent Research	Thesis/Independent research comprises the majority of assessable output (i.e. > 51%).	Thesis/Critical Appraisal comprises the majority of assessable output (i.e. > 51%).
Supervision	At least 2 named supervisors specifically appointed for the candidate, at least one being a full-time member of academic staff. A work-based professional may also be appointed as a mentor.	At least 2 named supervisors specifically appointed for the candidate, at least one being a full-time member of academic staff. A work-based professional may also be appointed as a mentor.
Internal Examiner(s)	At least 1 named internal examiner.	At least 1 named internal examiner.
External Examiner(s)	At least 1 named external examiner specifically appointed for the candidate, with relevant expertise in the subject area (2 if the candidate is a member of University staff).	At least 2 named external examiners specifically appointed for the candidate, with relevant expertise in the subject area.
Generic Skills Training	Generic skills training (to be done additionally).	Generic skills training (to be done additionally).
Research Skills Training	Research Methods and Techniques - 60 credits. Specialist Knowledge - 60 credits	Research Methods and Techniques - 60 credits. Specialist Knowledge - 60 credits
Credit rating	Minimum 60 credits for each taught component	Minimum 60 credits for each taught component
Level of award	pass/MPhil/fail	pass/MPhil/fail
Titles of Awards	Common Accepted Titles: EdD, DBA DEdPsy	Common Accepted Titles: EdD, DBA DEdPsy

Note: * - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

Postgraduate Degrees: Masters Level
Categories and General Characteristics/check-list

Masters Student

Degree Type	<i>Master by Research</i> <i>Characteristics</i>
Eligibility	For internal/external students and staff*
Prerequisites	Minimum 2nd class Honours UK undergrad. degree or equivalent, or integrated Masters degree. Competence in English required.
Format/components	Programme of research, together with instructional classes or research training at 10 credits - 60 credits rating, 20 credits of skills training (completion of RD906) and a Dissertation worth a minimum of 120 credits.
Duration: Full time	Minimum 12 months, Maximum 24 months.
Duration: Part time	Minimum = none stated Maximum = 48 months.
Structure	Courses should be modular and credit rated. Dissertation (or Design, Report, or Project) as required, to be based on original research by the student, and be worth at least 120 credits.
Participants known as	Students
Assessment Type	Coursework to be completed and assessed by exam, and/or written assignments, and/or oral exam. Dissertation (normally maximum 30,000 words) to be examined by review. Dissertation counts > 120 credits. A Dissertation submitted by a Strathclyde staff member may consist in whole or in part of work previously published by them, provided the Dissertation is composed so as to present a connected record of research in a field of study. Partial exemption from coursework may be available by Credit Transfer or RPL not normally exceeding 50% of the credits unless a special articulation agreement exists where up to 67% may be possible for Credit Transfer.
Supervision	At least 2 named supervisors specifically appointed for the student, one being a full time member of academic staff.
Internal Examiner(s)	At least 1 named internal examiner. If, exceptionally, the student's supervisor is appointed, a 2nd internal to be appointed.
External Examiner(s)	At least 1 named external examiner specifically appointed for the student, with relevant expertise in the subject area.
Researcher Professional Development Skills Training	MPhil only: minimum 20 credits (class RD906), or as stipulated in course regulations. Regulations from the previous version of this policy are applicable to students who registered prior to 1 October 2013.
Research Skills Training	n/a (but will be present in courses)
Credit rating	180 credits (min 150 at level 5, with over 120 credits for Thesis/Dissertation)
Level of award	pass/fail
Titles of Awards	Common Titles: MPhil, MRes, LLM (by Res)

Note: * - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

PART B: To be completed by the Head of Department/ School
1. Name of Academic Supervisor and second Supervisor
2. Department/ School
3. Degree
4. Field of Study
5. Reason for application for external study (please demonstrate value to University, eg. research, contacts, industrial facilities, student experience etc)
6. Monitoring Progress (<i>Note: see PGR Guidelines</i>) <ul style="list-style-type: none"> a. What arrangements are proposed for regular contact between supervisors and student and for keeping a record of the student's progress. What frequency of progress meetings is planned? b. Monthly/ quarterly (<i>delete as appropriate or specify other</i>) feedback will be given to the student c. By what means (e.g. email, face to face)
7. Research Training (instructional element) <ul style="list-style-type: none"> a. What instructional classes (e.g. research methods) will the student attend at the University. Give title, credit rating and class code if available. b. How else will research training requirements be satisfied?

Copies of the relevant degree regulations and of the University of Strathclyde Procedures and Guidelines for Postgraduate Research Programmes (PGR Guidelines) including the University's Standard Terms and Conditions for Collaborative Agreements have been passed to the External Supervisor.

Signed by the Head of Department/
School:

Date:

PART C: To be completed by the External Agency (e.g. company, research laboratory)
1. Name of External Supervisor
2. Company Name and Address
3. External Supervisor Information Please indicate relevant research etc interests and research supervision experience <i>(attach one page CV)</i>
4. Reason for External Agency's involvement (please indicate value to External Agency, eg staff development, joint research project etc)
5. Please indicate arrangements within the External Agency for a. Student Supervision b. Access to equipment and other facilities c. Health & Safety guidance*
I have received copies of relevant degree regulations and of University of Strathclyde Procedures and Guidelines for Postgraduate Research Programmes (PGR Guidelines)* including the University's Standard Terms and Conditions for Collaborative Agreements and agree to abide by these where appropriate to my role as supervisor. Signed by the External Supervisor: _____ Date: _____ _____

***NB. The responsibility of the Supervisors for ensuring compliance with health and safety regulations is indicated in the PGR Guidelines**

FORM FOR APPROVAL OF JOINTLY SUPERVISED RESEARCH STUDENTS

This form should be used when a Department/Faculty wishes to accept a student to undertake a research degree (PhD, MPhil, MRes) jointly supervised with another university or universities.

PART A: To be completed by the student/University of Strathclyde supervisor		
1. Name of Student		
2. Place of Study		
3. Contact Information (whilst at Strathclyde) <i>Address:</i> _____ <i>Tel:</i> _____ <i>e-mail</i> _____		
4. Contact Address (whilst at the Collaborating University) <i>Address:</i> _____ <i>Tel:</i> _____ <i>e-mail</i> _____		
5. Administering Institution Supervision will be in accordance with the policy, procedures and guidelines of the Administering Institution which will be the University of Strathclyde The award will be an award of the: University of Strathclyde		

If the Administering Institution is the University of Strathclyde, PARTS B1 and C1 of this Form must be completed

If the Collaborating University is the Administering Institution, PART B2 only of this Form must be completed

Proposal approved by:

The Collaborating University

Position:

Name:

Date:

University of Strathclyde

Dean (or nominee):

Name:

Date:

Please send completed Form to Student Business for fee calculation and onward transmission to the Faculty Board.

PART B1: To be completed by the Head of Department or School/Vice Dean (or nominee)

1. Name of University of Strathclyde Primary Supervisor and second Supervisor

2. Department/ School:

3. Degree:

4. Field of Study:

5. Reason for joint supervision (please demonstrate worth to University, eg. value to research, contacts, access to facilities, wider student experience etc):

6. Monitoring Progress (*Note: see PGR Guidelines*):

a. What arrangements are proposed for regular contact between supervisors and student and for keeping a record of the student's progress?

b. What frequency of progress meetings is planned?

c. Monthly/quarterly (*delete as appropriate or specify other*) feedback will be given to the student

d. By what means (e.g. email, face to face)

7. Research Training (instructional element)

What instructional classes (e.g. research methods) will the student attend. Give class codes, titles and credit ratings if available.

a. at Strathclyde?

b. at the Collaborating University?

c. How else will research training requirements be satisfied?

8. Student Fees

Registry will apply the standard fee for the relevant postgraduate research programme unless special arrangements have been approved by ET and Court.

What split of fees has been agreed with the collaborating University?

Copies of relevant degree regulations and of University of Strathclyde Procedures and Guidelines for Postgraduate Research Programmes (PGR Guidelines) including the University's Standard Terms and Conditions for Collaborative Agreements have been passed to the Supervisor in the Collaborating Institution.

Signed by the Head of Department:

Date:

PART C1: To be completed by the Collaborating University	
1. Name of Supervisor/Contact:	
2. University Name and Address:	
3. Supervisor/Contact Information: Please indicate relevant research etc interests and research supervision experience <i>(attach one page CV)</i>	
4. Reason for joint supervision (please indicate value to the collaborating institution)	
5. Please indicate arrangements/responsibilities for:	
a. involvement in student supervision	
b. provision of access to equipment and other facilities	
c. involvement in any other relevant joint activities	
<p>I have received copies of relevant degree regulations and of the University of Strathclyde Procedures and Guidelines for Postgraduate Research Programmes (PGR Guidelines)* including the University's Standard Terms and Conditions for Collaborative Agreements and agree to abide by these where appropriate to my role as supervisor/contact in the Collaborating University.</p> <p>Signed by the Collaborating Supervisor/Contact: _____ Date: _____</p>	

***NB. Supervisors' responsibility for ensuring compliance with health and safety regulations is indicated in the PGR Guidelines**

PART B2: To be completed by the University of Strathclyde Supervisor/Contact	
1.	Name of University of Strathclyde Supervisor/Contact
2.	Name and Address of Collaborating University
3.	Name of Collaborating University Supervisor/Contact
4.	Reason for joint supervision (please indicate value to the University of Strathclyde)
5.	Please indicate arrangements/responsibilities for: <ul style="list-style-type: none"> a. involvement in student supervision b. provision of access to equipment and other facilities c. involvement in any other relevant joint activities
6.	Student Fees <p>What fee will be charged by the Collaborating University?</p> <p>What split of fees has been agreed with the Collaborating University?</p>
<p>I have received copies of relevant degree regulations and of the Collaborating University's Procedures and Guidelines for Postgraduate Research Programmes and agree to abide by these where appropriate to my role as supervisor/contact in the University of Strathclyde.</p> <p>Signed by the University of Strathclyde Supervisor/Contact: _____ Date: _____</p>	