Faculty of Social and Human Sciences Postgraduate Research Handbook 2013/14

**This handbook should be read in conjunction with the
Postgraduate Research handbook for your Academic Unit**
Both handbooks are living documents that may change at any time.
The authoritative version can be found on the FSHS Graduate School
Black Board site - **https://blackboard.soton.ac.uk/**

TABLE OF CONTENTS

SECTION 1 INTRODUCTION

1.1 WELCOME FROM THE DEAN

Welcome to the University of Southampton, to the Faculty of Social and Human Sciences and to your Doctoral Research. You have joined one the of the top 100 global universities. The University is committed to delivering world-leading research and to host the very best research and training environments. We regard our Doctoral Researchers as essential members of our research teams and contributors to our activities.

The breadth and depth of the Faculty speaks for itself. Our research interests span Education, Geography and Environment, Mathematical Sciences, Psychology, Social, Political and Economic Sciences and Statistics. According to the most recent UK Research Assessment Exercise many of our research groups are ranked well within the top 10. We receive research funding from all the UK Research Councils ranging over the arts, biological and medical, physical and social sciences, from the European Union and from government, charities and industry. The Academic Units in the Faculty have an impressive combined annual growth of 19% in research income since 2005. With nearly 500 doctoral researchers, the Faculty has one of the largest and broadest Graduate Schools in the University.

Over the next few years we hope you will become experts in your chosen fields. You will undertake subject-specific training, but you should also acquire the generic skills that are essential for any researcher competing in an international market for jobs.

We also hope that you take advantage of the opportunities for exciting interdisciplinary research, both within and across the Faculties at Southampton. Interdisciplinary research not only throws up exciting new opportunities within the contributing subjects, but can also strengthen the impact of your research and accelerate your research career.

Of course, our doctoral researchers go on to a full spectrum of careers, both inside and outside academia and our role is to ensure that you are well placed to succeed whatever you chose to do.

Whatever your eventual career, we hope that the next few years will be amongst the most intellectually challenging and exciting of your life. Enjoy your time at Southampton, think big and we look forward to celebrating your success with you.

Professor Judith Petts
Dean of the Faculty of Social and Human Sciences

1.2 PURPOSE OF THE HANDBOOK

The purpose of this booklet is to introduce you to the Graduate School of the Faculty of Social and Human Sciences, and give you some idea of where you and your project fit into it. It also summarises the rules and regulations under which you will be working. Please read the handbook right through initially, and then use it for reference during your time here.

If you need more detailed information on any points, please ask your supervisor, Director of Doctoral Programme or the Faculty Graduate School Office. Contact details are given below. Web links are also provided to the detailed University regulations.

You may also be given complementary information by your academic unit/doctoral programme, which may go into more detail on actual day to day matters.

1.3 UNIVERSITY STRUCTURE: (FACULTY, ACADEMIC UNITS AND DOCTORAL PROGRAMMES)

The University of Southampton received its Royal Charter in 1952, but has its origins in the Hartley Institution, which was founded in 1862. Today, the University has about 20,000 students and 1800 academic and research staff. It is listed as one of the top 75 Universities in the world.

The Faculty of Social and Human Sciences (FSHS) is the largest of eight Faculties in the University. FSHS hosts over 22% of all Undergraduate Students, 33% of all Postgraduate Taught students and 20% of all Doctoral Students. The Faculty has more students in each category (UG, PGT, PGR) and REF-able academic researchers than any other single Faculty at Southampton. The research of the Faculty is also the broadest and ranges well beyond the descriptor in its title, covering biomedical, natural and physical sciences. In effect FSHS is a microcosm of a University. Further Details of the Faculty structure is given in Appendix 1.

Discipline-based activities within the Faculty take place within Academic Units (AUs).

You will be registered on a Doctoral Programme in this Faculty. Doctoral Programmes are either discipline-based within Academic Units, or multidisciplinary, spanning both Academic Units and also (in the case of Doctoral Training Centres) Faculties. Doctoral Programmes are responsible for training and producing cohorts of Doctoral Researchers. They are run by Doctoral Programme Directors (DPDs).

Within a Doctoral Programme you will be assigned a supervisory team, members of which will normally be academic staff of this Faculty (but, depending on the nature of the research sometimes may also contain staff from other Faculties). You will be assigned a main supervisor within this team with whom the primary responsibility for monitoring your progress rests.

You may also be part of a research group. Research groups focus on a particular (sometime broad) area of research interest. They may be discipline-based or multidisciplinary. As such, research groups may lie totally within one Academic Unit or span Academic Units and even Faculties.

The way in which research is undertaken is changing worldwide. In addition to continuing research in traditional academic areas, increasingly, interest (and funding) is being directed towards multidisciplinary research.   Researchers from different fields are increasingly joining together to tackle problems of often global importance, e.g., predicting and living with climate change, energy supplies or healthcare provision. To that end, in addition to the discipline-based research, the University has set up a number of University Strategic Research Groups which foster collaborations across the Faculties.

1.4 FUNCTION OF FACULTY GRADUATE SCHOOL AND DOCTORAL PROGRAMMES

The Faculty Graduate School oversees research student activities across Doctoral Programmes within the Faculty. It provides administrative support and ensures compliance with regulations and quality standards. It coordinates and sets policy and monitors your progress towards a higher degree. However, within the constraints of the policy and quality assurance processes, AUs and Doctoral Programmes have a considerable amount of freedom. Each Doctoral Programme has a Doctoral Programme Director (DPD) who is responsible for the day-to-day planning and running of the programme.

The Academic Unit/Doctoral Programme is responsible for items including:

- academic supervision of your doctoral research;
- your subject-specific and generic skills training;
- monitoring and reporting on your progress;
- pastoral support.

The Faculty is responsible for items including:

- administrative matters relating to your doctoral studies;
- overseeing the implementation of quality assurance;
- appointment of and receiving reports from examiners;
- making recommendations to Senate for the award of degrees;
- awarding and overseeing specialist scholarship schemes (VC, Mayflower);
- devising and implementing of policies.

For general information on administrative matters, you should consult your supervisor, Doctoral Programme Director or the Faculty Graduate School Office.

1.5 STUDENT REPRESENTATION

The views of doctoral students are represented both informally and formally. Each AU/Doctoral Programme cohort may elect representatives to staff-student liaison groups at AU/Doctoral Programme level. Issues which cannot be resolved at these groups may be raised by student representatives at the Faculty Graduate School Advisor Group (FGSAG) and if needs be at the Faculty Research and Enterprise Advisory Group (FREAG) or Faculty Programmes Committee (FPC). There are five seats for student representatives of Doctoral Programmes on the three main Faculty committees/advisory groups, one each on FPC and FREG, three on FGSAG. The dates of the meetings can be found here

FGSAG	Time	Venue
18.09.13	2-5 pm	B58/1039
13.11.13	2-5 pm	B58/1039
18.12.13	2-5 pm	B59/1257
12.02.14	2-5pm	B58/1065
23.04.14	2-4pm	B58/1065
25.06.14	2-4pm	B58/1039

The contact details of the student representatives can be found below.

1.6 DEANS, DOCTORAL PROGRAMME DIRECTORS AND STUDENT REPS

FACULTY STAFF

Role	Name
Dean (In charge of Faculty)	Professor Judith Petts
Associate Dean (Research)	Professor Graham Moon
Associate Dean (Education)	Dr Sarah Stevenage
Director Faculty Graduate School	Dr Chris Howls

ESRC DOCTORAL TRAINING CENTRE

Director – ESRC DTC	Professor Pauline Leonard (from Semester 2)
Deputy Director – ESRC DTC	TBA

DOCTORAL PROGRAMME DIRECTORS

Doctoral Programme	Director
Education	Dr Kalwant Bhopal (kb4@soton.ac.uk)
Geography	Dr Emma Tompkins (elt1m10@soton.ac.uk)
Mathematics	Professor Jörg Fliege (Joerg) (J.Fliege@soton.ac.uk)
Social Sciences	Dr Jan Podivinsky (J.M.Podivinsky@soton.ac.uk)
Psychology	MPhil/PhD: Dr Julie Hadwin (jah7@soton.ac.uk) DClin Psych, D Ed Psych (Research): Dr Matt Garner (m.j.garner@soton.ac.uk)

STUDENT REPS

Doctoral Programme	Faculty representative
Education	Eva Nedbalova (E.Nedbalova@soton.ac.uk) Rebecca Ridley (rmr1e11@soton.ac.uk)
Geography	Robin Wilson (R.T.Wilson@soton.ac.uk)
Mathematics	Edwin Tye (et4g08@soton.ac.uk)
Social Sciences (including ESRC DTC)	TBA
Psychology	Gemma Fitzsimmons (gt4g08@soton.ac.uk)

1.7 FACULTY ADMINISTRATIVE TEAM

The Graduate School Student Office is based in Building 54 (Mathematics) Room 5015.

Reception is open: Monday – Thursday: 09.30 – 16.30
Friday 09.30 – 13.00

Contact details:

Doctoral Programme Area	First Point of Contact
Education:	Anna Lyon (Administrative Officer) Email: ed-pgr.fshs@soton.ac.uk Tel: 02380 595699 (internal 25699)
Geography:	Helen Johnson (Senior Administrative Officer) 1 October 2013 – 30 April 2014 Julie Drewitt (Senior Administrative Officer) 1 May 2014 onward Email: geog-pgr.fshs@soton.ac.uk Tel :02380 592216 (internal 22216)
Mathematics:	Kulvir Bouri (Administrative Officer) Email: maths-pgr.fshs@soton.ac.uk Tel :02380 597385 (internal 27385)

Psychology (MPhil/PhD Psychology/Health Psychology Research and Professional Practice:
 	
Psychology (Doctorate in Clinical/Educational Psychology:
	Jenny Bowyer (Senior Administrative Officer)
	Email : psych-pgr.fshs@soton.ac.uk
	Tel :02380 593476 (internal 23476)
	
	Becky Pointer (Administrative Officer)
	Sonia Sood (Administrative Officer)
	Email: Clinpsyc@soton.ac.uk
	             Edpsych@soton.ac.uk
	Tel: 02380 595320 (internal 25320)
	        02380 595321 (internal 25321)

Social Sciences (ECON/PAIR/GERO):	Chris Baker (Administrative Officer) Email : socsci-pgr.fshs@soton.ac.uk Tel :02380 592527 (internal 22527)
Social Sciences (SSP/STATS/ESRC DTC):	Glenn Miller (Senior Administrative Officer) Email: socsci-pgr.fshs@soton.ac.uk Email: Esrcdtc@soton.ac.uk Tel: :02380 593476 (internal 23476)
Team Leader:	Claire Caffrey Email: cmc@soton.ac.uk Tel: 02380 593747 (internal 23747)

The Graduate School Office is responsible for a range of tasks relating to administrative requirements and reporting and advising students on every-day administrative and procedural issues. Please call into Reception to speak to one of the team or for non-urgent issues email them at the addresses above.

1.8 HOW WE WILL KEEP IN CONTACT WITH YOU

1.8.1 Email

We will use your University email account to contact you when necessary. We will not use any other email accounts nor social networking sites. Check your University email account regularly and do not let your inbox exceed your storage limit. Notification that you are due to exceed

your storage limit will be sent to your University email account and you should take immediate action as you will be unable to receive further emails once your storage limit has been exceeded.

You should have subscribed to a University computing account during enrolment. However if you do not yet have one please go to http://www.subscribe.iss.soton.ac.uk and click on the "Create your University computing account" link.
You will need your student ID number, surname and date of birth. Enter your details as prompted and follow the steps. You will be assigned a username and asked to choose a password. Write these down as they will be your log on details for all IT services and will form your email address – eg. username@soton.ac.uk. When you have completed the process you should receive a message saying that you have successfully subscribed. If you encounter any problems please contact Serviceline@soton.ac.uk Further details for IT support can be found in section 10.9 of the Faculty handbook.

1.8.2 PGR Tracker

PGR Tracker is a browser-based software that tracks the progress of Postgraduate Research students against Research Milestones as prescribed by the University's regulations and Code of Practice for doctoral degrees from registration to graduation. PGR Tracker holds student record data and in addition documents uploaded by students, records of supervisory team meetings, progress reports, upgrade to PhD documents; manually updated training records, training records auto loaded from Grad book, supervisory team information, key administrative forms and some financial information.

It is compulsory that students and staff use PGR Tracker - https://pgrtracker.soton.ac.uk/ Further training and guidance for new students will be provided early in their first semester.

1.8.3 Blackboard

The Faculty has an account on www.blackboard.soton.ac.uk entitled "FSHS Graduate School" where forms, information, policies, calls and announcements will be stored. Please check this regularly. You will need to self enrol, yourself onto the account.

To find this web-based course, follow these steps:
- Go to www.blackboard.soton.ac.uk
- Click on "Login" and use your university username and password to log in
- On the Courses tab type "FSHS Graduate School" into the search box
- Click on the downward pointing arrow next to the course ID
- A small menu will appear, click on enrol

iSolutions have provided a guide to self-enrolment for students available here

www.southampton.ac.uk/isolutions/computing/elearn/blackboard/avail_a.html

Help with getting started with Blackboard may be found at the iSolutions website.

1.8.3 Updating your contact details

To ensure that we can contact you promptly please check the details we hold for you at enrolment. This should include your term time and/or permanent address, telephone number and an alternative email address. We may from time to time need to send you formal written correspondence or contact you urgently. If any of these details change whilst you are studying, please update them via the University's student database 'Banner Self Service' which can be accessed via SUSSED https://sussed.soton.ac.uk/ or speak to the Graduate School Office if you are unsure of what to do. Neither the University nor the Faculty will be held accountable if you receive important information late, because you failed to update your student record.

1.9 KEY WEB RESOURCES

Resource	Weblink
Academic integrity	Statement: http://www.calendar.soton.ac.uk/sectionIV/academic-integrity-statement.html Regulations: http://www.calendar.soton.ac.uk/sectionIV/academic-integrity-regs.html Procedures: http://www.calendar.soton.ac.uk/sectionIV/academic-integrity-procedures.html
Agresso	
Blackboard	http://www.calendar.soton.ac.uk/sectionIV/academic-integrity-procedures.html
Career Destinations	http://www.southampton.ac.uk/careers/
Code of Practice	http://www.calendar.soton.ac.uk/sectionV/code-practice.html
Computing	http://www.southampton.ac.uk/isolutions/
Completion of Research Candidature	https://sharepoint.soton.ac.uk/sites/ese/quality_handbook/Handbook/Completion%20of%20Research%20Degree%20Candidature.aspx
Ethics	www.ergo.soton.ac.uk/ Training: www.southampton.ac.uk/isolutions/computing/training/user_documentation/ergo/
English Language Support	www.southampton.ac.uk/cls/english/
Fees	www.southampton.ac.uk/postgraduate/feesandfunding/
GradBook	www.gradbook.soton.ac.uk/
Health & Support	www.unidocs.co.uk/home.htm
Higher Degree Regulations	www.calendar.soton.ac.uk/sectionV/sectV-index.html
Intellectual Property	www.southampton.ac.uk/ris/commercialisation
Library	www.southampton.ac.uk/library
PGR Tracker	https://pgrtracker.soton.ac.uk/
PGR Tracker Guides	https://blackboard.soton.ac.uk – via PGR Tracker tab on the FSHS Graduate School Blackboard site
Quality Assurance Handbook	https://sharepoint.soton.ac.uk/sites/ese/quality_handbook/default.aspx
Research Innovation Services	www.southampton.ac.uk/ris/

Researcher Development Framework	www.vitae.ac.uk/researchers/429351/Introducing-the-Researcher-Development-Framework.html
Special Educational Needs	http://www.southampton.ac.uk/edusupport
Research Development & Graduate Centre	http://www.southampton.ac.uk/gradschools/
Sussed	www.sussed.soton.ac.uk
Student Services Centre	www.southampton.ac.uk/sais/ssc

2. REGULATIONS AND CODES OF PRACTICE

In this section we outline the regulations and codes of practice that relate to research degrees. We provide links to the online documents, which remain the authoritative statements of the regulations or codes in force at any one time. Changes may be made periodically to these documents without notification. It is the responsibility of all staff and students to check these online documents as required.

Extracts from these regulations are included in this handbook. The purpose of this handbook is not to act as a substitute for these University-wide rules, but rather to highlight to supplement and to explain them.

2.1 RELEVANT DOCUMENTS

The Doctoral Researcher Programmes in the Faculty operate under the regulations laid out in the University Calendar. These are approved by the University Senate.

2.1.1 Higher degree Regulations (Regs):

http://www.calendar.soton.ac.uk/sectionV/sectV-index.html

There are three main types of research degrees:

- **MPhil/PhD:**

    http://www.calendar.soton.ac.uk/sectionV/mphil-phd.html

- **Degrees with a major taught component (DClin Psych, D Ed Psych, Ed D):**

    http://www.calendar.soton.ac.uk/sectionV/taught-research.html

- **Integrated PhD:**

    http://www.calendar.soton.ac.uk/sectionV/integrated-phd.html

These regulations should be read in conjunction with the Faculty Delegation of Responsibilities document located on the FSHS Graduate School blackboard account.

2.1.2 Code of Practice for Research Candidature and Supervision (CoP):

    http://www.calendar.soton.ac.uk/sectionV/code-practice.html

The code of practice gives more details on how the regulations are implemented and details the expected duties and responsibilities of students and staff.

2.1.3 Quality Handbook (QH).

The quality handbook details policies relating to the Quality Assurance of the programmes. It may be found at:

https://sharepoint.soton.ac.uk/sites/ese/quality_handbook/default.aspx

These documents are too long to reproduce here. For that reason we produce a narrative of their major points below. Full details can be obtained by consulting the links above.

2.2 SUPERVISORY TEAMS AND MEETINGS

Your Doctoral Programme Director will allocate you to a Supervisory Team. The supervisory team consists of at least two members, one of whom is called the 'main supervisor'. The main supervisor has overall responsibility for the supervision of the design and progress of your research project and for providing academic advice.

The supervisory team may contain additional supervisors who will be an academic member of staff from the University of Southampton, and reports to the Faculty on your work and progress according to the milestones in your Academic Unit part of the handbook.

As a research student, you are learning on the job. You are being trained in methods of research through undertaking a research project. At the start of the project, you will be closely guided by your supervisory team, and expected to follow their advice quite closely. Towards the end you should be self- motivated and developing your own initiative. This does not mean ignoring your supervisory team - one of the lessons you should have learned by then is the value of discussion with other experts in the field.

You should maintain contact with your supervisory team through regular meetings – the frequency of these will depend on the stage reached in the project, and on the nature of the research itself, but should typically take place at least once a fortnight for full-time students. In the first year of the project the frequency will typically be higher. One of your responsibilities as a student is to discuss with your supervisory team the type of guidance found to be most helpful, and to agree and adhere to a schedule of meetings. Key agreed action points should be noted and signed off by you and your supervisory team in these meetings.

2.3 Responsibilities of Supervisory Team.

Paragraph 40 of the CoP sets out the responsibilities of the supervisory team.

Each member of the supervisory team should be fully aware of their role and responsibilities, the scope of which includes the following:

2.3.1 Responsibilities at the outset of supervision

- To meet with the research student to identify the initial objectives of the research.
- To confirm any requirements of the research student's sponsor, if applicable.
- To assist the research student in an academic needs analysis with respect to research skills (discipline-specific and generic) and transferable skills, identifying sources of provision at discipline/Faculty/University level or externally, and a timescale for undertaking training.
- To ensure that the research student has access to information about events organised for, or open to, research students in the discipline/Faculty/Accredited Institution (including workshops, seminars and conferences).
- For research students whose first language is not English, to advise on additional English language support if appropriate (for example, some research students may experience difficulties with technical language).
- If the research student has disclosed a disability, to identify ways in which he/she may be supported in their studies with help and advice as required by _Enabling Services_. Enabling Services encompasses a wide variety of support for research students who have disabilities, mental health issues or specific learning difficulties. Research students should also be asked about the impact, if any, of research activity on their disability.
- To explain the roles of the members of the supervisory team and to discuss and agree the pattern and frequency of contact between members of the supervisory team; (for example, international research students may benefit from a higher frequency of meetings during the first year, or, for research students with a disability, account may need to be taken of the effects of medication).

- To clarify arrangements for progress monitoring ensuring that the research student is fully conversant with the Faculty/Accredited Institution and University procedures from the outset (see paragraphs 63 to 65 below).
- To ensure that the research student is cognizant of Intellectual Property (IP) issues that may be/become associated with the project and is aware of their responsibilities in relation to research ethics (see *Ethics Policy* and Paragraph 32 above) , governance, and IP (see Section IV of the University Calendar - *Intellectual Property Regulations*).
- To make clear to the research student his/her responsibilities as detailed in paragraph 48 below (*Responsibilities of the Research Student*).

2.3.2 Ongoing responsibilities

- To maintain regular contact with the research student in accordance with arrangements established at the outset and in-line with Faculty/Accredited Institution policy. The frequency of meetings will depend upon the stage and nature of the research and the particular needs of the research student, but it is anticipated that for full-time research students these should be at least once a month, and more frequently at the start of the candidature. This could include both face-to-face and on-line meetings (see also paragraphs 63 to 65 below).
- To be accessible at other reasonable times when advice is needed, keeping in mind the needs of the individual research student.
- To provide advice and guidance as necessary on the planning and development of the research programme and standard of work expected, recognising that some research students may require additional support. Such advice and guidance will include reference to literature and sources, research methods and techniques, academic integrity including avoidance of plagiarism, research ethics and governance, issues of copyright, intellectual property and health and safety.
- To ensure that the University's Equal Opportunities Policy is taken into account in all aspects of the research student's experience, and to be sensitive to the differing needs of research students arising from diversity.
- To ensure that the research student conforms to the University's research ethics, governance, and Intellectual Property regulations and policies which can be accessed via *Research and Enterprise Policies*.
- To monitor the research student's progress (requiring written work as appropriate), providing reports to the Faculty/Accredited Institution as required, and giving constructive and timely feedback which is accessible and useful to the research student.
- Where progress is unsatisfactory, or the standard of work unacceptable, to ensure that the research student is made aware of this and that steps are taken to develop a constructive plan for improvement.
- To set target dates for successive stages of the work in order to encourage timely submission of the thesis (taking into account any additional disability-related needs or language support arrangements required by the research student).
- To ensure that the research student is aware of other sources of advice at Faculty/Accredited Institution and University level including *safety legislation, equal opportunities policy, intellectual property and careers guidance*.
- To provide pastoral support and/or refer the research student to other sources of support, independent mentors and other student support services.
- To check with any research students with regard to the effectiveness of any support they are receiving from the University services, and responding to any on-going or acute difficulties.
- To liaise with external bodies as appropriate and make arrangements with any external supervisors.
- To keep the research student informed of events organised for, or open to, research students by the discipline/Faculty, encouraging them to participate as appropriate.
- To arrange, as appropriate, for the research student to present work to staff or peers at seminars or conferences; to arrange mentoring for publishing and grant writing as

appropriate; to encourage publication of work as appropriate; and to act as a link between the research student and the wider academic community.

- To participate in appropriate staff development activities to ensure competence in, and bring enhancement to, all aspects of the supervisory role.

2.3.3 Responsibilities in the later stage of supervision

- To ensure that, where a research student is unable to submit a thesis within the required time, a timely and reasoned application for extension of candidature is made in line with University policy.
- To ensure arrangements are made for examination of the research student including the nomination of examiners in accordance with Faculty/Accredited Institution and University policy.
- To ensure appropriate examination arrangements are made for research students with a disability (see paragraphs 84 and 89 below).
- To ensure that the research student is adequately prepared for the oral examination, arranging a practice *viva voce* if required.

2.4 RESPONSIBILITIES OF THE STUDENT

Paragraph 48 of the CoP sets out the responsibilities of the student.

The ultimate responsibility for the thesis lies with the research student and it is therefore essential that s/he participates fully in planning the research project, considering advice and discussing the work with the main supervisor or supervisory team. Particular responsibilities of the research student will include:

- showing commitment to the research project and programme of studies;
- discussing with one or more members of the supervisory team the type of guidance and commitment found to be most helpful, agreeing and adhering to a schedule of meetings, and the importance of preparation for these;
- agreeing with one or more members of the supervisory team the amount of time to be devoted to the research and the timing and duration of any holiday periods (see Paragraph 61 below);
- analysing, with assistance from one or more members of the supervisory team, any initial or on-going training needs with respect to research and generic/transferable skills, and participating in appropriate training activities as advised by one or more members of the supervisory team in order to meet these needs;
- maintaining the progress of the work in accordance with the research plan agreed with one or more members of the supervisory team, including submission of written material in sufficient time to allow for comment and discussion before proceeding to the next stage;
- providing regular statements on progress (normally through PGR Tracker) to the Faculty/Accredited Institution as part of the annual monitoring and review procedures (see paragraphs 63 to 65 below);
- depositing data from the research project as required in the appropriate University repository;
- taking the initiative in raising problems or difficulties however trivial they may seem (this is a recognised aspect of the relationship between a research student and the supervisory team); where difficulties are perceived (by the research student) to stem from inadequate supervision, this should be raised with the appropriate Faculty/Accredited Institution authority (see paragraph 95 below);
- where applicable, discussing with one or more members of the supervisory team any changes in learning support needs which may arise during the period of study;

- attending conferences and participating in staff and research student seminars, presenting work where appropriate and as guided by the supervisory team;
- being aware of the diverse cultural, social and educational backgrounds of fellow research students, recognising the actual and potential benefits brought to the learning experience;
- preparing papers for publication or presentation at conferences, as guided by the supervisory team;
- abiding by the institutional safety policy, observing safe working practices at all times, and following procedures prescribed by the supervisor;
- deciding when the thesis is to be submitted after taking due account of advice from one or more members of the supervisory team as appropriate;
- submitting the final thesis in print as may be required, and electronically as set out in the University's _Completion of Research Degree Candidature_ documentation (may be subject to restriction only in exceptional circumstances – see Paragraph 94 below).
- In addition, it is the responsibility of the research student to conform to both the University's _Intellectual Property Regulations_, and the University's _Ethics Policy_ (see Paragraph 32 above), consulting as appropriate with a relevant member of the supervisory team.

3. MONITORING AND SUPPORTING YOUR PROGRESS

3.1 LENGTH OF STUDY

Due to the uncertain nature of research at the forefront of knowledge, unlike an undergraduate or taught postgraduate degree, the precise length of study for a PhD is not pre-determined.

The minimum and maximum lengths of registration (excluding periods of suspension) are as follows:

- MPhil:
  - Full time: not less than 12 months, no more than 48 months.
  - Part time: not less than 24 months, no more than 84 months.
- PhD:
  - Full time: not less than 24 months, no more than 48 months.
  - Part time: not less than 36 months, no more than 84 months.

Within these bounds, the length of study may vary by Doctoral Programme, and (depending on the progress of the research project) by candidate[1].

3.2 MONITORING OF STUDY

Due to the open nature of research, the University regulations require the monitoring of progress of research students. The purposes of this monitoring are diverse and include:

- to assess whether the student is making satisfactory progress in their studies;
- to assess the training needs and achievements of the student;
- to ensure that satisfactory supervisory arrangements are in place;
- to ensure that the necessary ethical approvals are in place;
- to identify and seek resolution of any obstacles to progress;
- to identify and seek resolution of any other issues raised by students or staff;
- to fulfill the requirements of UK legislation and other regulations (e.g., UKBA);
- to provide information as required to the funders of research and other agencies (e.g., HEFCE, HESA).

---

[1] .Note that the period during which a student may be in receipt of funds or required to pay fees may not be the same as the period of registration, see section 6.

Paragraph 63-74 of the CoP outline the requirements as laid down by the University Calendar.

The requirements include the following items.

- Supervisory teams and research students should establish a mutually agreed series of meetings, both formal and informal, to discuss progress and any problems arising.
- Faculties/the Accredited Institution should have clear mechanisms for feeding back to the research student information on progress and on actions that are taken in response to any problems encountered.
- When reviewing progress, supervisors should routinely assess whether the support needs of their research students are being effectively met.
- Faculties/the Accredited Institution will provide guidance on keeping appropriate records of the outcomes of meetings and related activities to research students, supervisors and others involved in progress monitoring and review processes. PGR Tracker will normally be the appropriate mechanism to record the outcome of meetings.

    Monitoring of progression will normally be undertaken at Academic Unit/Doctoral Programme levels, overseen by the Faculty.

Monitoring of study via PGR Tracker

Progression milestones are pre-programmed and calculated from the date candidature starts. PGR Tracker sends automated reminders by email as milestones are approaching or tasks need to be completed. Electronic forms are completed by the student, supervisor and/or examiners and are automatically sent to the relevant person for the next stage. PGR Tracker reminds you on a weekly basis when tasks are overdue.

The following Milestones will be monitored via PGR Tracker:

- Supervisory team details
- Academic Needs Analysis
- Annual Progress reports
- MPhil to PhD Upgrade
- Intention to submit/ Nomination of Examiners
- Bi-monthly Activity reports (Student & Supervisor meetings)

Step-by-step guides on how to complete each stage in PGR Tracker can be found at the PGR Tracker tab on the FSHS Graduate School Blackboard site at

<div align="center">

https://blackboard.soton.ac.uk

</div>

3.3 BI-MONTHLY REPORTS

From the start of candidature students and supervisors will be required to report on student and supervisory team meetings via a bi-monthly activity report via PGR Tracker. This will be a live task that will span from the beginning of month 1 to the end of month 2, which can either be added to and saved following each meeting, or completed at the end of the 2 month period.   At the end of month 2, a prompt to commence the completion of the next bi-monthly activity report will appear and the previous report should be submitted at this stage. This process will repeat every 2 months.

Any issues arising or continuing, e.g., to do with the obstacles to progress, the research direction or performance, can also be recorded at this time. The documented exchanges may be brief (up to a few lines) or more substantial (if required).   Additional documents (if appropriate) can also be uploaded.

The purpose of these reports is so that both the student and the supervisory team are fully and regularly appraised of what is happening on the project so that they may react accordingly in between formal progress milestones.

These reports may also be referred to in the case of a review of progress, procedures for the termination of studies, complaints or appeal (either internal or external to the University). In such circumstance all reports may be made available to relevant third parties.

It is also a requirement of UKBA compliance that students holding a Tier 4 visa are in regular attendance at the University. It has been agreed with the UKBA that completion of these reports is a MANDATORY part of the monitoring of attendance. Failure to complete these reports may lead to the University reporting you as absent from your studies to the UKBA.

3.4 FORMAL PROGRESS MILESTONES

Formal monitoring and consideration of progress reports take place at key points during a student's candidature by an appropriate panel according to the milestones for your programme.

Both the student and the main supervisor must complete a more substantial written report form (Academic Needs Analysis) via PGR Tracker which will be used to monitor the progress of the student and to identify any general issues arising. Additional documents may also be uploaded if appropriate.

The student's report should summarise progress made since the last formal report, if applicable.

The supervisor's report should include a statement on the likelihood of the student completing the thesis within the required time limit.

Any particular problems encountered by the student, (e.g., access to resources or facilities or other additional disability-related or language support requirements) should be indicated in this report and appropriate action taken.

The report should also indicate whether any additional support requirements or facilities already being provided for a particular student are continuing to meet that student's needs, or if any adjustments for the coming period are required.

A statement concerning whether ethics approval is required or not (and/or has been obtained) must also be included. Ethical approval can be applied for through the online system

https://www.ergo.soton.ac.uk/

The procedures and possible outcomes at the various progression milestones are outlined below.

3.5 ANNUAL PROGRESS REPORT

Please see guidance on the completion of the Annual Progress Report via PGR Tracker on the FSHS Black Board Site - https://blackboard.soton.ac.uk)

All students and supervisory teams must each submit an annual report form via PGR Tracker in order to report on the year's progress. Supervisor will assign an independent assessor, who should attend the annual progress review meeting, and approve the agreed reports.

Detailed questions will require response, but the report will cover the following criteria:

- progress made in the past year
- literature review and/or other items required by the doctoral programme
- ethical approval
- plans for the next year
- issues arising and how they have been addressed/what needs to be addressed.
- Academic Needs Analysis review

The student, supervisor and independent assessor should review all these reports. The Doctoral Programme Director must also read all the reports and take action accordingly to address individual or systematic issues.

3.6 UPGRADE FROM MPhil TO PhD

All students studying for a PhD are registered initially for the degree of MPhil and must apply to upgrade their candidature if they wish to submit for a PhD. This must occur at least six months before submission; in practice it often takes place during the second year of full-time candidature[2] (or third year of part time candidature).

Upgrade from MPhil to PhD should be recommended only after a formal review of the research topic, of its suitability for development into a PhD thesis, and of the candidate's ability and progress. The procedure will vary according to the discipline and should involve the practice and criteria set out in paragraphs 66 - 72 of the Code of Practice.
http://www.calendar.soton.ac.uk/sectionV/code-practice.html

3.6.1 THE UPGRADE PANEL

The recommendation to upgrade from MPhil to PhD will be made by an upgrade panel or committee constituted for the purpose. The upgrade panel/committee will consist of at least the main supervisor and a member of academic staff who has had no direct involvement in the research and who will act as 'assessor'; in addition, a second member of the supervisory team will normally be included.

3.6.2 CRITERIA FOR TRANSFER

In order to be upgraded, the following criteria must be met (see paragraph 68 of the CoP):

- that the student has demonstrated the ability to manage the research project, to become proficient in the special field of research involved, and to achieve success at PhD level given adequate motivation and perseverance;
- that the project being undertaken is of sufficient scope, originality and theoretical interest to constitute a genuine contribution to the subject in the form of the understanding of a problem, the advancement of knowledge or the generation of new ideas.

---

[2] Candidates transferring in from another institution may not normally submit the thesis earlier than 12 months from the date of transfer to the Faculty/Accredited Institution (see Regulation 12 of the *Regulations for the Degrees of Master of Philosophy and Doctor of Philosophy*).

3.6.3 SUPPORTING EVIDENCE

Please see guidance on the Upgrade Process via PGR Tracker on the FSHS Black Board Site - https://blackboard.soton.ac.uk)

The upgrade panel/committee making the recommendation must have reviewed a sufficient body of written work in order to make a judgement on the criteria noted in the CoP. This body of work should include:

- an overview of the research problem and rationale for the project;
- a substantial literature review;
- well-developed plans for fieldwork and/or data analysis (if relevant).

In addition there should also be some form of *viva voce* examination, based on the research student's written submission for transfer/upgrade. In conducting the oral examination, arrangements will be made, where necessary, to accommodate the requirements of research students with special communication needs. The *viva voce* examination should be led by the 'assessor' (as defined in *The Transfer or Upgrade Panel/Committee*). The recommendation to transfer/upgrade from MPhil to PhD will be made by a transfer/upgrade panel or committee constituted for the purpose. The transfer/upgrade panel or committee will consist of at least the main supervisor and a member of academic staff who has had no direct involvement in the research and who will act as an independent 'assessor'; in addition, a second member of the supervisory team will normally be included. The panel/committee will assess the written work submitted by the research student. In exceptional circumstances, the Director of the Faculty Graduate School may approve an independent assessor who has been appointed as a 'Visitor' to the University.

The Recommendation

A recommendation from the transfer/upgrade panel or committee must be made to the appropriate Faculty Programmes Committee (via the Faculty Graduate School Advisory Group) which is charged with responsibility for approving transfer/upgrade of candidature from MPhil to PhD.

The recommendation should be supported by all members of the transfer/upgrade panel or committee. If the recommendation is not to allow transfer/upgrade, the research student must be given a written report giving a statement of the reasons, guidance regarding any ways in which s/he might reach the required standard, and a date when the recommendation might be reviewed. Note that there is no automatic right to upgrade from an MPhil to a PhD. Candidates who are not upgraded to a PhD may be allowed to submit for an MPhil.

Research students who have been successful in their transfer/upgrade should receive written feedback on the transfer/upgrade process highlighting, where appropriate, any potential areas of concern.

It is the responsibility of the supervisor to ensure that all these written reports are submitted via PGR Tracker. It is the responsibility of the student to ensure that all reports have been read and any recommendations are complied with as appropriate.

3.7 TRANSFER TO NOMINAL REGISTRATION

See Regulations 19 - 22 of the *Regulations for the Degrees of Master of Philosophy and Doctor of Philosophy*

An MPhil or PhD candidate may be allowed to transfer to nominal registration when the main supervisor can confirm that:

- the minimum period of candidature has been completed;
- upgrade has taken place (in the case of a PhD candidate);
- research is substantially complete;
- and the thesis is being written up.

Normally the supervisor should also be able to predict the likely submission date as part of the application to transfer to nominal.

Applications to transfer to nominal registration must be submitted via PGR Tracker - https://pgrtracker.soton.ac.uk/

Nominal registration has the following characteristics:
- If you are on nominal registration you pay no fees for the first six months. After six months, a fee becomes payable (see Section IV of the University Calendar).
- Candidates retain access to library and computing facilities until their thesis is examined and, where appropriate, any revisions requested by the examiners have been made.
- Access to other facilities (e.g., office space) may be extended at the discretion of the Faculty.
- Nominal registration may last for a period not exceeding twelve months in the first instance. The Faculty will review the status of the registration after twelve months.
- Periods of nominal registration count towards the maximum period of candidature.
- In cases of illness, family crisis or exceptional or unforeseeable circumstances beyond the candidate's control, the Faculty may permit a candidate to suspend when in nominal registration ('*Temporary Suspension*').

With support from your supervisor, you may apply to extend the period of nominal registration beyond twelve months, taking account where applicable of Regulations 25 and 26 of the Calendar Section V regarding extension of candidature.

3.8 EXTENSION OF CANDIDATURE

In exceptional circumstances, if students are unable to complete their theses within the maximum time allowed, they may be allowed to apply for an extension of candidature. Applications must be submitted to the Director of Postgraduate Research Degrees before the candidature expires using the Extension of Candidature form via PGR Tracker (https://pgrtracker.soton.ac.uk/). The form must go to the Supervisor first for completion. Final approval is granted (or not) by the Director of Postgraduate Research Degrees and the Director of the Graduate School and the student informed by letter. In reaching a decision the following factors are taken into account:

- whether steady progress is being maintained and work has been produced recently;
- the likelihood of completion - how much remains to be done and whether the candidate has access to adequate facilities;
- whether this is the first request for extension and if not, how much was completed during the previous period of extension;
- whether there are any personal or medical factors to be taken into consideration.

Some extensions agreed may be deemed 'final'. In such cases, candidature will expire on the date specified if the thesis has not been submitted.

3.9 UNSATISFACTORY PROGRESS

It is the responsibility of the main supervisor to inform the student of unsatisfactory progress as soon as this becomes apparent. If discussion between the student and appropriate members of the supervisory team fails to resolve the issue, the situation should be recorded on PGR Tracker and the Doctoral Programme Director notified who may take appropriate steps.   The Faculty may issue a warning to the student and recommend termination of candidature if no improvement is forthcoming. For example, your supervisor may require a formal mid - year review to assess your progress.

If the research is not in agreement with any decision taken by the supervisory team and Faculty, they may appeal if s/he can produce evidence of one or more of the grounds outlined within the University's *Regulations Governing Academic Appeals by Students* in Section IV of the University Calendar on the web. Research students are advised to consult with the *SUSU - Advice Centre* which can provide free, independent and confidential advice as well as representation in such matters. Research students at the Accredited Institution are required to follow their Institution's appeals regulations and procedures.

4. THE PhD THESIS

4.1 PRODUCTION AND SUBMISSION OF YOUR THESIS

The requirements for the production of the thesis for submission are laid down in the booklet *Completion of Research Degree Candidature*. The booklet is available online in the Quality Handbook. Candidates should read that booklet carefully and certainly well before they start to prepare the final version of the thesis.

Attention is drawn to the following:

4.2 DECISION TO SUBMIT

The decision to submit the thesis must be the candidate's own. Candidates should take note of supervision advice but this advice should not be taken as an indication that the final thesis will fulfil the requirements of the examiners. A supervisor may inform the Faculty Graduate School Office in writing if the candidate submits without their agreement; this information will not be made known to the examiners but may be referred to in any subsequent discussions about the outcome of the examination, particularly where failure leads to an appeal.

4.3 NOTIFICATION OF INTENTION TO SUBMIT

Candidates must inform the Faculty Graduate School Office via PGR Tracker (https://pgrtracker.soton.ac.uk) of the intention to submit no later than two months prior to the date of submission in order to allow adequate time for examination arrangements to be made. Students who hope to graduate in July must give notice in February at the latest.

4.4 MAXIMUM LENGTH OF THESIS

The maximum length of a thesis is normally 75,000 words for a PhD or 50,000 words for an MPhil, excluding references and bibliography, or equivalent in the case of non-text based submissions (also see Regulations, 27, 28 and 34 of the Regulations for the Degrees of Master

of Philosophy and Doctor of Philosophy). Supporting factual information may be submitted in an appended volume to the examiners for reference in addition to the thesis and will form part of the record.

Candidates who exceed the stipulated length will normally be required by the examiners to re-submit in a form that does not exceed the maximum length. A student may present a statement to the supervisory team indicating that the thesis cannot be contained within the stipulated length for reasons relating to the subject material. The supervisory team may then recommend to the Faculty, before notice of submission, that a longer thesis be permitted. The Faculty will consider requests for variations to the length of the thesis and report at FGSAG and FPC.

4.5 THESIS WRITTEN IN ANY OTHER LANGUAGE THAN ENGLISH

A thesis may be written in a language other than English with the approval of the Faculty Programme Committee. When considering such a recommendation, the relevant Faculty or Accredited Institution committee will take into account the nature of the research and discipline. It will require assurances that there will be no problems in examining the thesis and that the subsequent published work will be accessible to subject specialists.

4.6 DECLARATION OF AUTHORSHIP

At the time of submission a thesis should include a signed declaration from the research student that the material presented for examination is his/her own work and has not been submitted for any other award (and, where relevant, how it relates to a group project).

4.7 SUBMITTING YOUR THESIS

Three soft-bound copies should be submitted for examination. It is advisable to mark on the outside cover of each of these soft-bound examiners' copies that the copy is for examination on (give date). The text should be in a final and correct form. Examiners will be reluctant to accept theses which require substantial typographical correction.

Before final award can be considered for approval, **one final soft-bound** copy of the completed doctoral or MPhil thesis must be submitted, with all corrections/amendments made, to the Faculty Graduate School Office. The University will retain this final soft-bound copy for the relevant Library.

A doctoral thesis must be accompanied by an additional copy of the title page and a copy of the abstract for the British Library. The University requires the submission of an electronic copy of the final thesis, including corrections, to the Faculty Graduate School Office. The thesis should be submitted on CD, or other agreed method, in PDF format or other suitable format as agreed with your main supervisor. The electronic copy must include all front material (title page, abstract, acknowledgements, table of contents etc) and should normally be a single file. Further information on electronic submission and file formats can be accessed via *Guidance for e-Thesis deposit* in the Quality Handbook.

Further information on electronic submission of theses, including copyright, intellectual property rights, restrictions and file formats can be found on the Library website via http://www.southampton.ac.uk/library/research/etheses/students.html.   Thesis templates using Microsoft Word are also accessible from this link.

A completed *Permission to Deposit Thesis form* should also be submitted with your thesis which should be countersigned by the main academic supervisor and the Director of the Faculty Graduate School.   This form should be used to indicate if the full thesis can be made available immediately or should be subject to a period of restriction.

Thesis submission workflow

Legend:
- Student
- Grad School
- Examiner
- Library

Submission of three copies of thesis for examination

Grad School send theses and paperwork to examiners

Examiners complete pre-viva independent form

Student sits Viva

Examiners complete Joint Examiners' Form

Decision points:
- Pass
- Minor corrections
- Modest corrections
- Resubmission/ MPhil

If pass/minor corrections, Examiners to return thesis to student at end of viva

Student makes corrections and submits corrected thesis to examiner(s)/Grad School as per Faculty

If modest corrections/ resubmission Examiners to retain thesis at end of viva

Graduate School to request return of thesis from Examiners once corrections/resubmission approved. Graduate School to offer payment for postage costs.

Examiner(s) check corrections

Student hands in to Graduate School:
ethesis
Softbound thesis (final version)
Title and abstract page
Permission to Deposit form

If student submits corrected thesis to examiner(s), they need to notify Grad School they have done so

Graduate School
1. Uploads ethesis to eprints
2. Deletes electronic copy of thesis
3. Sends to Library softbound thesis, title and abstract page and Permission to Deposit form

Library
1. Stores softbound thesis, keeping a record of embargo as appropriate
2. Stores Permission to deposit form
3. Sends title and abstract pages to British Library

Library sends list of embargoed theses to RDGC (annually)

17 June 2013

4.8 ACADEMIC INTEGRITY

All students are required to complete their work, and where relevant their professional practice, in accordance with the principles and practices set out in the _Academic Integrity Statement for Students_. The Academic Integrity Statement for Students is published in student handbooks and the University Calendar.

A student who is suspected of having committed a breach of academic integrity, including assisting another student to commit or attempt to commit such a breach, shall be subject to the implementation of academic procedures as detailed in the University's _Policy and Procedures for Handling Suspected Breaches of Academic Integrity_. Breaches of academic integrity include such practices as plagiarism, collusion and cheating which are explained in Appendix 1 of the Academic Integrity Statement for Students.

A student who is found to have committed a breach of academic integrity will incur a penalty in accordance with the penalty guidelines listed in the University policy. The severest breaches may result in the reduction of class of degree award, deprivation of a University qualification, termination of programme and/or the implementation of disciplinary procedures.

Doctoral Programmes should provide you with more information on acceptable forms of referencing, pertinent to the discipline.

Details setting out the University's procedures for handling suspected breaches of academic integrity by postgraduate research students are available in section IV of the University regulations.

5 THE EXAMINATION PROCESS

Once a candidate has given notice of intention to submit, appropriate examiners must be appointed and arrangements made for the examination.

5.1 EXAMINERS

Normally two examiners will examine a thesis. One examiner will be external and one internal to the University; in exceptional circumstances, one additional external examiner may be appointed. External examiners should normally hold academic posts in another higher education institution.

Members of the supervisory team, and other researchers, who have had a substantial involvement in the work of the thesis such that there would be a conflict of interest or potential lack of objectivity, may not be appointed as internal examiners.

In order to ensure some externality and quality assurance of choices made and justifications provided, examiners' nomination forms should be approved at Faculty level by Director of the Faculty Graduate School.

Nomination forms should be submitted to the Faculty Graduate School via PGR Tracker (https://pgrtracker.soton) **at least two months** before the proposed viva date. This is to ensure adequate time for the approval of the examiners and to make sure they have sufficient time to read the thesis. If the Faculty declines to approve an examiner on the grounds of eligibility/suitability and the nominations forms have not been submitted in time to appoint an alternative, the viva date may have to be postponed.

Note that external examiners from outside the EU must have permission to work in the UK before they can be appointed.

Regulations and procedures governing the appointment of examiners may be found in the [CoP](#) and the [Quality Handbook](#).

5.2 THE EXAMINATION PROCESS

The examiners will read the thesis and each will prepare an independent written report and make this available to the each other prior to any oral examination.

Candidates for a doctoral or MPhil degree are normally also required to attend an oral (viva voce) examination.

After an oral examination the examiners will prepare a joint report on the conduct of the viva and including, where appropriate, an agreed recommendation (see below). The joint report may contain a set of corrections to be made, or requirements for further work. Candidates should be given a copy of the joint report.

A candidate must satisfy the examiners in both the thesis and any oral examination to gain a recommendation for the award of the higher degree: a candidate may fail either the thesis, or the viva, or both. The examiners may recommend re-examination only in that part in which the candidate failed (see precise recommendations below).

The examination, including the oral, should be completed normally within three months of submission.

5.3 THE VIVA VOCE EXAMINATION

The purposes of the *viva voce* (oral) examination include:

- to verify the authorship of the thesis;
- to clarify any issues that have arisen from the reading of the thesis by the examiners;
- to help to assess whether the candidate has met the criteria (see below) for the award of the degree.

By agreement between them, either the internal or external examiner may chair the viva. In response to a request from either examiner, the supervisor, or the candidate, the Faculty will appoint an independent chair who is a member of the Faculty Programme Committee but not an examiner.

The exact form and length of the viva may vary by academic discipline, based on practice within the field. It is the responsibility of the Doctoral Programme to provide the candidate with further details of what to expect at a viva and to help you to prepare for it.

It is the responsibility of a member of the supervisory team to ensure that the arrangements for the examination are made, including any arrangements for students with disability-related communication needs. The Faculty Graduate School Office may assist in these.

In line with arrangements for the approval of examiners, the responsibility for approving all examination arrangements lies with the Director of the Faculty Graduate School.

For further information regarding circumstances where special requirements may be necessary to facilitate the conduct of the viva, please refer to the [CoP](#).

5.4 ROLE OF THE SUPERVISORY TEAM IN THE EXAMINATION PROCESS

The main supervisor should be available to provide clarification at the oral examination if requested by the examiners.

At the request of the candidate, one or more members of the supervisory team may be invited to the viva.

A main (or other) supervisor who is requested to attend by the candidate will not play an active role in the examination, or play a part in the judgement of the thesis under consideration.

5.5 CRITERIA FOR THE AWARD OF A PhD

The criteria on which the examiners are asked to decide the award are listed both in the CoP and on the joint report form. The criteria are that the candidate must demonstrate **all** of the follow:

- the creation and interpretation of new knowledge through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline and merit publication;
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or an area of professional practice;
- The general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in light of unforeseen problems;
- A detailed understanding of applicable techniques for research and advanced academic enquiry.

Examiners must state whether the candidate has met, has not met, or partially met each of the these criteria. Based on this, the examiners may make one of the following recommendations.

5.6 CRITERIA FOR THE AWARD OF AN MPhil

The MPhil is an award of considerable distinction in its own right and is awarded for the successful completion of a substantial element of research or equivalent enquiry. The MPhil differs from the PhD only in terms of the scope of study required and the extent of the original personal contribution to knowledge. More specifically, for the award of MPhil, candidates must have demonstrated:

- a systematic understanding of knowledge and a critical awareness of current problems and/or new insights much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice;
- originality in the application of knowledge together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;
- conceptual understanding that enables the student to:
    - evaluate critically current research and advanced scholarship in the discipline; and
    - evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses;
- a comprehensive understanding of techniques applicable to their own research or advanced scholarship.

5.7 RECOMMENDATIONS OF EXAMINERS

Candidates should be given a copy of the completed joint report. The examiners' recommendations must take one of the following forms.

- That the degree for which the candidate has submitted a thesis be awarded.
- That the degree for which the candidate has submitted a theses be awarded subject to minor amendments to the thesis being made by a date specified (minor amendments include: minor errors/omissions of substance, typographical errors, occasional stylistic or grammatical flaws, corrections to references, addition/modification to one or two figures, and minor changes to layout, and require no new research; these changes need only be certified by the internal examiner). The date specified for the submission of such minor amendments should normally be no later than one month after the formal notification to the candidate.
- That the degree for which the candidate has submitted a thesis be awarded subject to the correction of modest errors/omissions of substance being made by a date specified (the procedure for certification of the amendments should be clearly specified in the report). Such amendments may require limited further analysis but will not affect the originality of the central thesis. They will be of a scale to require certification by both the internal and external examiners, though normally not so extensive that an oral is required. The date specified for the submission of such intermediate amendments should normally be no later than six months after the formal notification to the candidate.
- That the candidate be required to attend for a further oral examination,
- That the candidate be permitted to resubmit by a date specified a revised thesis for the same degree for re-examination on one subsequent occasion. The date specified for submission of the revised thesis should normally be no later than twelve months after the formal notification to the candidate. The Fees Office should be informed when a candidate has been asked to submit a revised thesis. *(By definition, this recommendation is not available in the event that the examination is of a resubmitted thesis.)*
- That, in the case only of a PhD candidate who has failed to satisfy the examiners, permission may be given to the candidate to apply within a specified time for the award of the degree of MPhil. This may be allowed without re-examination, subject to any minor amendment of the thesis which may be required by the examiners, or may be subject to re-examination of a revised thesis. In such circumstances, the work must meet the normal criteria for the award of the MPhil degree.
- That the degree be not awarded and that re-submission of the thesis be not permitted.

5.8 PROCEDURES IN THE CASE THAT AMENDMENTS/RESUBMISSION ARE REQUIRED

Examiners must return the signed joint form to the Faculty Graduate School Office. This is scrutinised by the Faculty Graduate School Director. If the report is acceptable, the Faculty Graduate School Office will forward it to the candidate.

Candidates required to make minor or modest amendments, or to submit a revised thesis for re-examination, should be given a clear and prompt statement by the examiners of what is required and by what date. The timescale should be agreed by all parties and starts from the date on which the Graduate School Office sends the joint report form to the candidate.

Candidates must make the necessary changes and submit the revised thesis (preferably electronically) to the Faculty Graduate School Office by the agreed deadline. No intention to submit form is required. The Graduate School Office will forward the thesis to the relevant examiners for their decision, who in turn will communicate this decision back to the Office. The Office will then inform the candidate.

When minor corrections have been submitted, the candidate should normally be informed whether they have been approved within three weeks of their submission. In the case of modest

corrections/amendments, the candidate should normally be informed whether they have been approved within six weeks of their submission, or sooner if possible.

It is the responsibility of the main supervisor to ensure that the corrections are approved promptly so that the candidate's degree can be awarded as soon as possible.

A candidate who fails to submit a corrected or revised thesis by the date set by the examiners shall normally be regarded as having failed the examination and the recommendations of the examiners shall lapse.

Where the examiners recommend that the degree be not awarded and that submission of a revised thesis be not permitted, the candidate may ask for the case to be reviewed in accordance with the procedures laid down by the Senate. A copy of the procedures may be obtained from the Faculty Graduate School Office.

5.9 SCRUTINY OF REPORTS AND RECOMMENDATIONS.

The reports of the examiners and their recommendations are scrutinised within the Faculty by the Director of the Faculty Graduate School. If at the end of the examination process all reports are satisfactory and the examiners recommend the award of a degree, the Director of the Faculty Graduate School signs a recommendation for the award for transmission through FGSAG, FPC and onwards to Senate.

Under the exceptional circumstances that the appointed examiners are unable to reach agreement, the examiners shall submit independent reports, the Director of the Faculty Graduate School shall recommend to the Faculty Programme Board the appointment of an additional external examiner.

The additional examiner shall be provided by the Faculty Graduate School Office with a copy of the thesis/dissertation and the separate reports of the two original examiners, and shall be permitted to interview the candidate before submitting a final report and recommendation to the Director of the Faculty Graduate School. The Director shall consider all three reports before reporting to the FPC via FGSAG

5.10. SUBMISSION AFTER A SUCCESSFUL RECOMMENDATION OF AN AWARD

See also section 4 above.

Before an award can be considered for approval, candidates should submit one soft-bound copy of the completed doctoral or MPhil thesis, with all corrections/amendments made, to the Faculty Graduate School Office. The University will retain this copy to be deposited in the Hartley Library.

A doctoral thesis must be accompanied by an additional copy of the title page and a copy of the abstract for the British Library

The University requires the submission of an electronic copy of the final thesis, including corrections, to the Faculty Graduate School Office. The thesis should be submitted on CD, or other agreed method, in PDF format or other suitable format as agreed with their main supervisor. The electronic copy must include all front material (title page, abstract, acknowledgements, table of contents etc) and should normally be a single file.

There is also Guidance for e-Thesis deposit which gives further information on electronic submission and file formats.

Further information on electronic submission of theses, including copyright, intellectual

property rights, embargos and file formats, as well as Microsoft Word thesis templates are available on the University's Academic Skills website at:

http://www.academic-skills.soton.ac.uk/ethesis/

5.11 ACCESS TO THESIS

The results of research should normally be freely available. Theses are accessible in the University library and through the British Library doctoral thesis scheme, and electronically through the University of Southampton Research Repository.

Under certain exceptional circumstances (e.g., a security classification) a thesis may be subject to restricted access for a period not normally exceeding three years from the date of examination. Requests for any such restriction must be made to the Faculty. Each instance of FPC approval of restriction of access will be reported to the next meeting of Senate and the Library will also be informed.

6. FINANCE

Postgraduate finance breaks down into three components:

- fees payable to the university to cover costs of supervision and infrastructure;
- subsistence funds (if awarded) to cover living expenses; and
- training/travel/fieldwork funds to cover actual research costs on the project.

If you are in receipt of funding from the University, you will have been informed of this in a formal offer letter.

Postgraduate Research students may receive funding from a variety of sources. Funders may include UK Research Councils, charities, other grant awarding bodies, overseas governments or the students themselves. It is therefore the case that students both on and across Doctoral Programmes may receive different levels of funding during their registration.

6.1 UNIVERSITY FEES

Fees for Doctoral Programmes are listed on the "Postgraduate Fees and Funding" webpage of the University. They are reviewed annually.

Details of when and how to pay fees can be found on the "How and When" web page.

Fees are payable in advance for the academic year starting in October. Cheques should be made payable to the 'University of Southampton' and sent to the Fees Office at the University. The University will not award a degree to a student who has outstanding debts with the University. Failure to pay fees and other debts may lead to legal action.

At registration, students are asked to clarify whether they are sponsored (for example, by an employer) or liable for their own fees. If sponsorship details are not made clear at this time, students will be deemed to be liable for payment.

For students liable for fees, invoices for two instalments of the fee will be made by the Fees Office at the start of each semester.

6.2 SUBSISTENCE FUNDS

Students in receipt of a maintenance grant for their studies will receive a quarterly stipend paid on the first of the month in October, January, April and July. The maintenance amount awarded each year will be split equally between the four payment dates or pro rata depending on your start date. Details of any payment made to you by the University will appear on your PGR Tracker Record.

Unless you have indicated that you wish for your stipend to be paid directly to your bank account, the stipend will be paid by cheque and collected from Student Services (B37) on the Highfield Campus. You will normally be notified by email when your cheque is ready to collect.

6.3 TRAINING/TRAVEL/FIELDWORK FUNDS

Depending on the source of financial support of a student, funds for travel and other research costs may be provided by, e.g., Research and Training Support Grants (RTSG) from UK Research Councils, Fees charged to international students, funds associated with an external agency or commercial sponsor, or an Academic Unit. These monies may be used towards covering the expenses of conference attendance, training courses and workshops, travel for fieldwork, special equipment, and in some cases software or books.

All students registered with the Faculty and who started after September 2012 should have an RTSG sum available to them. Please speak to your supervisor or the Faculty Finance team to clarify your available funds.

It is a good idea to discuss with your supervisor at the start of your PhD, what your expenditure is likely to be. This can be adjusted as the research continues, but please do think about it at the start:

Year	1	2	3
Conference attendance	£	£	£
Field work (if relevant)	£	£	£
Equipment (if relevant)	£	£	£
External training	£	£	£

To access your RTSG fund please contact the Faculty Finance team who will give this to you. They will also update you on your existing balance via email if requested. Contact details below. You will need this unique account number to claim back any expenses. When claiming RTSG funds please use the following forms available from the Finance website or the FSHS Graduate School Blackboard site in 'Form store'

Travel Claim – University
Requisition University Personnel
To be submitted to Purchase to Pay Office in Building 58 room 4055 with appropriate receipts.

Requisition Advance
To be submitted to the Purchase to Pay office in Building 58 room 4055 where funding is required *in advance* of purchase

Finance team contacts
Linda Mulcahy: lm8@soton.ac.uk
Raj Birring: rb3@soton.ac.uk

6.4 LENGTH OF DEGREE AND FUNDING

Unlike an undergraduate or masters degree, the time taken to submit a thesis for a PhD may vary. This is often due to the uncertain nature of undertaking work at the boundaries of knowledge where progress may not be at a uniform rate, or where some ideas do not progress at a linear rate.

The length of any financial support awarded to a student will depend on the conditions of the funder. You should check any offer letter you have received for these details. If there is any doubt as to the length (or amount) of any funding, you should resolve this with your funding body.

The maximum period of registration of a full time PhD is normally 4 years/48 months (excluding periods of suspension)[3].   You should therefore check the length of the funding available to you and make sure that you have arrangements in place to support yourself financially for the full duration of your studies.

Students who have upgraded to a doctorate, who have finished their research and are writing up the thesis may apply to move to 'nominal' registration (see section 3.7 above). Students pay no fees for the first six months of nominal registration. After six months, a fee becomes payable. Students in nominal registration are not eligible for supervisory support.

6.5 FINANCIAL HARDSHIP

Postgraduate students are eligible to apply through the University for help from the Access to Learning Fund (ALF) although the criteria are stricter than for undergraduates. It is a government fund that is administered by Financial Information and Assistance according to strict guidelines. It is intended to help those who have made adequate plans to cover their living expenses and through unforeseen circumstances are in financial hardship that would, without help, force them to withdraw from their studies. For further information relating to financial matters and for help and advice visit:

www.soton.ac.uk/postgraduate/feesandfunding/financialadvice.html

7 WHAT TO DO IF THINGS DON'T GO ACCORDING TO PLAN….

Conducting high quality research is difficult, and teaching someone to do so is also difficult. If things go wrong, what should you do? How can you tell if something is a typical or an unusual problem? Suppose that you have been working for 18 months, but are getting nowhere. Your supervisor(s) are never in, too busy, and don't seem to see your problems. The money is running out, the equipment doesn't work, you have found an error in the first line of your theory. What do you do?

---

[3] 7 years/84 months for part time.

7.1 SUGGESTIONS TO TRY TO RESOLVE ISSUES.

If a student feels unhappy about any aspect of their research they should not hesitate to tell someone. It is much better to resolve problems as they arise than to leave them unattended so that they can grow.

In the first instance the student should raise the issue informally with the most relevant member of staff involved. If the matter is not satisfactorily resolved, or for any reason you feel unable to speak to the staff member involved, the student should discuss the matter with a member of their supervisory team or their Doctoral Programme Director. Doctoral Programme Directors should be available to discuss problems with students and their supervisory team (separately or together as appropriate). Discussions can be informal and initially confidential.

If the problems with seem genuine and insuperable, there are various courses of action that can be taken. For example a co-supervisor could be appointed, or a change of project topic or supervisor or both arranged. While time lost will not come back, a fresh mind on the problem or a fresh start will often bring fresh ideas.

Sometimes the Doctoral Programme Directors may not be best-placed to help. There are some general policy matters which, while important, are not really academic problems, for example, the location of suitable computer terminals, access to the photocopier or the facilities for making coffee in the evenings. On such issues students should approach the Research Group Administrators, Head of Research Group or ask the Student Postgraduate Representative to take up the matter.

The Doctoral Programme or Academic Unit will have a formal Staff/Student body as a forum to resolve more general problems that occur. If the issue cannot be resolved at Academic Unit/Doctoral Programme level, then the Student Representatives may be able to take the matter to the Faculty via FGSAG.

7.2 COMPLAINTS AND APPEALS

Formal Complaint

If the above suggestions do not resolve the issue, the University has procedures for formal student complaints. These can be found at:

 http://www.calendar.soton.ac.uk/sectionIV/student-complaints.html

The Faculty will not allow anyone to be treated unfavourably in any way, by any member of staff, as a result of a complaint.

Appeals

If you need to appeal against an unsuccessful upgrade or other academic issue, you should refer to the *Regulations Governing Appeals by Postgraduate Research Students.* The full regulations can be found on the University website at :

http://www.calendar.soton.ac.uk/sectionIV/student-appeals.html

If this situation occurs, you should act quickly as written notice normally needs to be given to the Academic Registrar within 21 days from the date when the examiners' or assessors' decision was formally communicated to you. Third parties (such as parents) cannot make an appeal on your behalf.

7.3 TEMPORARY SUSPENSION OF STUDIES

Occasionally, it may be advisable for a student to seek to temporarily suspend their studies, on a no fault basis.

In general, suspensions[4] are allowed in extenuating circumstances (e.g., illness, family crisis or unforeseeable problems beyond the student's control).

Periods of temporary suspension shall not count towards the maximum period of study. Suspensions will normally be granted for a defined period not exceeding twelve months.

Students may apply to extend a period of suspension for further periods of up to twelve months at a time; however, suspensions covering periods greater than twenty four months continuously will normally be granted only under the most exceptional circumstances. If you are unable or unwilling to return to study after twenty four months in suspension your studies may be terminated.

If a student is considering suspending, this should be discussed in the first instance with their supervisor and the Faculty Graduate School Office who can advise you on the procedures. A request for a suspension from studies must be applied via PGR Tracker (https://pgrtracker.soton.ac.uk)

Regulations governing suspension are covered in

http://www.calendar.soton.ac.uk/sectionIV/interruption.html

It is normal for funders to discontinue payments during periods of suspension. Suspended students normally should not receive supervision and access to University services is suspended.

8. TRAINING

8.1 TRAINING NEEDS IN SUBJECT SPECIFIC AND GENERIC SKILLS

Training is an essential component of doctoral studies. Training may be in a subject-specific discipline, or refer to generic skills that all researchers should possess.

The Doctoral Programme should inform students of the requirements for training and the courses that are available at programme level.

The subject specific training will usually be delivered through the Doctoral Programme. Generic skills training will be provided both at Doctoral Programme level and at University level.

At the beginning of their studies, and regularly throughout them, students should carry out a formal review (Academic Needs Analysis) with your supervisory team of what training you are likely to need. Some of the training may be required by the Doctoral Programme, some may be required by the supervisory team, other training may be needed to help to develop your personal skills.

The identified training needs of a student should be documented in a formal academic needs analysis, or in a milestone progression report via PGR Tracker. Doctoral Programme Directors

---

[4] Note that being "suspended" does not in any way imply any disciplinary issue!

and Supervisors are jointly responsible for ensuring that the student has met these identified training needs. Students should keep formal records of any training they have undertaken and review this at least once a year during their annual progress meeting.

8.2 RESEARCHER DEVELOPMENT FRAMEWORK

The Vitae Researcher Development Framework (RDF) is a list of a set of skills that successful researchers are expected to possess.

The RDF has been adopted by the Higher Education Funding Council for England, the Research Councils UK and the Quality Assurance Agency. This means that all higher education institutions must provide training to students on postgraduate research programmes that is compliant with the Framework. Failure to do so may result in loss of funding to the University. As such the Faculty now requires all Doctoral Programmes to provide courses that can be mapped onto the skills set in the RDF.

8.3 RESEARCH DEVELOPMENT AND GRADUATE CENTRE (RDGC)

The main University-level coordinator of generic skills training is the RDGC

www.southampton.ac.uk/gradschools/

The RDGC works in partnership with Career Destinations

www.soton.ac.uk/careers/pgr/index.shtml

to coordinate and oversee a range of activities which will enhance the experience of research students across the University and contributes toward the development of transferable skills and career management.

Researchers may sign up for courses at

https://www.gradbook.soton.ac.uk/

Students should regularly check GradBook for updates on what courses are available. Courses signed up for through GradBook should automatically appear in PGRTracker.

If a course is oversubscribed, or a training need is identified for which a course is not available, this should be raised in the first instance with the Doctoral Programme Director. If a training need cannot be fulfilled by the Academic Unit, students may approach their Reps to raise the matter at FGSAG.

8.4 TRAINING FOR STUDENTS INVOLVED WITH TEACHING OR DEMONSTRATING

Any postgraduate research student involved with undergraduate teaching MUST be trained on ITSPG1, Introduction to Demonstrator Training for Lab-Based Disciplines or a Faculty-approved course before they are allowed to start this work.   Students starting teaching from 2013/14 must also take ITSPG2 later in the academic year.

Details of the University training may be found at:

www.southampton.ac.uk/gradschools/graddev/demonstrator.html

The Doctoral Programme Director should inform relevant students whether they should attend ITSPG1 or an alternative Faculty-approved course. Bookings for the University courses may be

made through GradBook.

Whether delivered at University or Academic Unit level, all demonstrator or teacher training should be recorded on PGRTracker. The Faculty will monitor which students have completed the necessary training.

9 IMPORTANT PRACTICAL MATTERS

9.1 HEALTH AND SAFETY

Under UK law, health and safety is the number one priority of everyone at the University, whether staff or student.

It is the responsibility of students and employees to take care of their health and safety and of other persons who may be affected by their acts or omissions at work. No Persons will intentionally or recklessly interfere with or misuse anything provided in the interests of health, safety, or welfare.

To assist the University in meeting these obligations, there is a central Health and Safety Group which manages health and safety across the University.

If a student or member of staff comes across any health or safety issue that might give you concern, you must report this to the Faculty Health and Safety Officer.

The University statement of Health and Safety Policy and Management System, which defines commitment, governance, responsibilities and management of Health and Safety, is available here:

http://www.southampton.ac.uk/healthandsafety/policy/policystatement.html

Local arrangements are as follows:

Action in the event of a fire

If you notice or suspect that there is a fire you should immediately raise the alarm by operating the nearest fire alarm call point (one will be located on the wall as you leave the building). The fire alarm is a continuously ringing bell.

On hearing the alarm you should immediately stop what you are doing and make your way out of the building by following the green emergency exit signs to the nearest exit, shutting doors behind you as you leave. Do not stop or return to collect personal belongings. Do not use lifts unless you have a Personal Emergency Evacuation Plan (PEEP).

On leaving the building make your way to the assembly point. Details of assembly points for Faculty buildings are given overleaf. Ensure any car parks or roads are kept clear for emergency vehicles. Do not re-enter a building until you are told it is safe to do so by the Fire & Rescue Service, the senior Fire Warden or Security staff.

Fire extinguishers are provided in buildings but should only be used by those trained in their use and only if it is safe to do so.

Evacuation alarms are tested weekly. The times of these tests are detailed near main entrances to buildings. When tests take place the bell will ring for no more than a few seconds.

Students with mobility impairment should have been notified to Health and Safety personnel in order for a PEEP to be developed. If this is not the case, for example, in the case of a temporary impairment due to an injury, please contact the Health and Safety team using the details overleaf.

First Aid

In the event of an accident causing injury, the nearest first-aider should be contacted. Their details are displayed on signs in corridors. Alternatively, contact security on 3311 using an internal phone and they will assist. Following treatment, the incident must be reported to your supervisor and the Faculty Health and Safety team.

Incident Reporting

If you are involved in an accident or incident, spot a hazardous situation or are concerned that you are being asked to do something without the necessary information, instruction or training that would ensure your safety, please report this to your supervisor and the Faculty Health and Safety team. The circumstances can then be investigated and measures put in place to minimise future risk.

Induction and Training

As a new PGR student you should have the following expectations with regard to Health and Safety:

- To be made aware of local emergency arrangements and local H&S contacts on your first day.
- To receive a local and computer based H&S induction. The local H&S induction will seek to identify and/or raise awareness of significant hazards in your work and make you aware of your H&S responsibilities and training needs where applicable.
- Procedures, risk assessments and other written arrangements relating to your work will be brought to your attention (usually by your supervisor).

Contact Information

A student's primary contact should be their supervisor. However, the following contacts may be used if necessary, especially for general enquiries:

Faculty Health and Safety Team (Social and Human Sciences)				
Pete Dargie	Faculty Health and Safety Officer	44/3011	24513	P.G.Dargie@soton.ac.uk
James Hartshorn	Health and Safety Officer – Southampton Education School	56/2005	29269	J.Hartshorn@soton.ac.uk
Safety and Occupational Health (SOH)	Please contact SOH if local contacts (above) are not available	26 University Road	23277	soh@soton.ac.uk
Security – Central Control Room (CCR)				
CCR	3311 (Emergency)	22811 (Enquiries)		unicc@soton.ac.uk

Assembly points

Building	Assembly point
B32 (Education)	Visitor car park at North end of B32 (Burgess Road end).
B34 (Education)	Area around flag pole in front of University library.
B39 (S3RI)	Car park in front of B54
B44 (Geography / Psychology)	Grassed area in front of University Health Service Building (North end of Physics building).
B44a	Car park in front of B44 (Shackleton)
44 Chamberlain Rd (Psychology)	Car park in front of B44 (Shackleton)
B54 (Mathematics)	Grassed area between Turner Sims Concert Hall and John Hansard Gallery.
B56 (Human Performance Laboratory – Education)	Grassed area between Turner Sims Concert Hall and John Hansard Gallery.
B58 (Social Science)	For those exiting Building 58 to the North from Level 2, this is the grassed area alongside Building 58A. For those exiting to the South from Level 1, this is the car park between Building 54 and the John Hansard Gallery.
Other buildings	Check the emergency information that should be displayed on a noticeboard in teaching rooms.

The University has provided a short Health and Safety video which we recommend all new students watch and can be located here:
http://www.southampton.ac.uk/healthandsafety/safety/student_safety/video.html

9.2 STUDENTS UNDERTAKING TRIPS OR RESEARCH WITH INCREASED RISKS

Students planning any trip outside the University in connection with their research must complete a Risk assessment form available from the FSHS Graduate School Blackboard site or the Graduate School Office

The supervisor must approve and sign this. Completed forms must be returned to the Faculty Graduate School office.

If a student is to carry out research that is likely to involve increased risks or hazards, this must be discussed with the Supervisor in conjunction with the Faculty Health and Safety team – contact details above.

Providing that a risk assessment has been completed, research students are automatically insured by the University for travel. Please see the Insurance FAQs on the University Finance website if you are unsure what to do. Details of the cover provided are also laid out and can be found here http://www.southampton.ac.uk/finance/insurance/travel
Please ensure that you read and understand this information fully before you undertake any research trips.

9.3 RESEARCH ETHICS

The University requires that all activities are undertaken in an appropriate manner within a proper ethical framework, and due ethical consideration is given to all undertakings, be they research, teaching, enterprise or other.

In addition, all staff and students should be aware of ethical considerations and ensure that they act in an ethical manner when engaged on University business. The view of the Research Councils in funding universities is that "Ethical issues should be interpreted broadly and may encompass, among other things, the involvement of human participants in research, the use of animals, research or other activity that may result in damage to the environment and the use of sensitive economic, social or personal data."

For avoidance of doubt, ANY research involving human participants, human tissue or data on individuals will automatically require ethical consideration. The same can be said for experimental work involving animals.

At an early stage of a student's studies (and certainly before any activities which may have ethical implications take place) they should discuss ethics with their supervisory team and they will then have to complete an ethics approval process at

https://www.ergo.soton.ac.uk/

The application will be reviewed by the Faculty Ethics Committee who will decide whether to grant permission to proceed with the research. If research plan changes significantly, with changes to ethical considerations, the student must seek revised approval before proceeding.

Reports on ethical approval must be submitted at progression milestones.

9.4 DIGNITY AT WORK AND STUDY

The University has a Diversity Team responsible for responding to and implementing our equality and diversity commitments. However, overriding responsibility for equality and diversity lies with everybody in the University. This is supported by student services and SUSU, who have also identified resources to improve equality and diversity through working directly with students. We have a comprehensive range of policies and procedures for protecting everyone's right to equality

Please see the Diversity website for further information

 www.southampton.ac.uk/diversity/

9.5 DATA PROTECTION ACT AND RECORD KEEPING

As a general principle, information collected about students should be stored and used only for the purposes for which it was collected, to enable the University's central and legitimate activities (mainly teaching and research) and the procedures which underpin those activities (e.g., admitting, registering, accommodating and examining students, compiling records and statistics, and developing a continuing relationship with the University through the University of Southampton Society) to be undertaken efficiently. The information collected should be no more than necessary for these purposes. It should be as accurate as possible, kept up-to-date and safeguarded from unauthorised disclosure.

For the purposes of the Data Protection Act 1998, the Data Controller is the University of Southampton. The University will aim to ensure that this information is as accurate as possible, kept up to date; and safeguarded from unlawful disclosure. It will however be disclosed in certain appropriate circumstances, (e.g., in cases where this is necessary to fulfil the University's statutory obligations to authorised bodies; or to other parties in the pursuit of the University's legitimate interests, for example publishing examination results and providing reports to grant awarding authorities). The University may be called upon to co-operate with the police in criminal investigations and with certain other public authorities and in such circumstances personal data may be released.

Within the constraints of the Data Protection Act, the Faculty will not release information to family members, prospective employers or other universities without your consent. Should you be unwilling for the release of such information without your prior consent, the Faculty will contact you via your University email account to notify you of any such requests to enable you to determine whether the release of information should be authorised.

9.6 OUT OF HOURS WORKING

The University has an Out of Hours Working Policy which is intended to discourage out of hours working (i.e. working between the hours of 23.00 and 07.00) because of the safety implications of lone working in remote buildings at times when no first aid cover can reasonably be provided. Permission for Out of Hours working is not normally extended to students, although a case might be made in exceptional circumstances. If for exceptional reasons a student has to work during the Out of Hours period, they should download and complete the appropriate Out of Hours form

http://www.southampton.ac.uk/estates/services/outofhoursworking/

Access to the buildings outside of the normal working day (which is 08:00 to 18:00, Monday to Friday, except during University closure periods) is by card access, using the student's University ID card. It is important for students to carry their ID card at all times. Access to most

laboratories is restricted to card access, or in some cases keys will be issued after appropriate training has been given.

A specialised safety induction and training will normally be required for any laboratory in which a student will be working: check directly with the technician or experimental officer responsible for the laboratory.

Basic security measures by individuals are important to maintain the overall security of the working environment for everyone. Ensure that all offices remain locked when unoccupied, and report any suspicious occurrences or individuals to Security (Extn 22811).

9.7 EXTERNAL SPONSORS AND COMMERCIAL EXPLOITATION OF RESEARCH

Many research projects are externally funded, by industry or a government body. The agreement between the University and the outside body will cover the financial details and, to a greater or lesser extent, the area of research.

In the course of the collaboration, there will be meetings with the sponsors, at which students may be expected to report on their activities. The advice and assistance given by sponsors may be invaluable to you. But beware! The interests the sponsors do not necessarily coincide exactly with those of the student. The latter are looking for research training and a higher degree. The former are looking for results that will benefit them. These differences need to be appreciated by all concerned; students must always bear in mind your sponsors' ultimate needs, while sponsors should give students the freedom to follow promising leads. If this relationship is handled well, there may be a chance of further research work or even a job in the future.

Since sponsors have a financial stake in a project, the agreement usually also gives them some (but not all) rights over the ultimate results. Students and supervisors must respect these rights. Research teams should keep any information received from sponsors secure and confidential, and avoid any kind of publicity about results which could benefit competitors or could hazard any future copyright, patent or licensing action. Normally, if significant commercial benefits do result from research, the researchers sponsors, the University and the supervisory team, may share the proceeds. The terms and conditions must be agreed before the start of the research.

Website of Research and Innovation Services (RIS)

http://www.soton.ac.uk/ris/

University Calendar, section IV, General regulations, intellectual Property Regulations

9.8 IMPORTANT INFORMATION FOR TIER 4 VISA STUDENTS

If you studying here with a Tier 4 visa, there are certain conditions (responsibilities) that you are expected to comply with during your time in the UK. If you

- decide to defer (delay) your studies, or
- need to suspend (take time out from) your course, or
- change the course that you are studying and/or the institution you are studying at,

it may affect your visa.

It is very important that you understand what could happen in any of these situations.

The Visa Guidance Team based in the Student Services Centre have a comprehensive website here

http://www.southampton.ac.uk/sais/visa/

Please take time to read the appropriate sections on this page. If you are still unsure about anything, you should book an appointment to see an adviser, or seek further advice by email to visa@soton.ac.uk if you are not in Southampton.

The Visa Guidance team currently has two advisers who are trained to provide immigration advice. Immigration advice is the UK is regulated by the Office of the Immigration Services Commision (OISC) and you should only seek advice from those authorised to provide this. The services are free and confidential.

If your situation changes and this will affect your visa status you must ensure that you inform your supervisory team and the Faculty Graduate School Office immediately. Please note that whilst the Faculty Graduate School Office is responsible for ensuring that your student record is correct and reflects your current circumstances, they are not legally allowed to offer you any immigration advice.

Under the terms of our sponsor licence from the UK Borders Agency, the University has a legal responsibility to monitor the attendance and engagement of overseas students on a Tier 4 visa. Failure to satisfy the University that you are in attendance at any stage may result in our informing the UKBA of our withdrawal of sponsorship of your visa. This could have implications for your visa status whilst in the UK.

10. GENERAL INFORMATION ABOUT UNIVERSITY SERVICES AND FACILITIES

See also the Student Services website at

http://www.southampton.ac.uk/studentservices/

10.1 ACADEMIC YEAR DATES 2013/14

Key dates for the current and future academic years may be found here

http://www.southampton.ac.uk/studentadmin/about_saa/term_dates_and_planned_year/

http://www.southampton.ac.uk/undergraduate/how_to_apply/keydates.shtml

10.2 NEEDING MEDICAL OR PERSONAL HELP OR ADVICE?

Medical
All students are required to register with a doctor. This can be one of the local GPs either at the University Health Service or Highfield Health or with another local GP. Instructions on how to do this are given in the University's Student Handbook on the Student Services website.

Students should notify their supervisor if they are unwell for more than a few days, particularly if the illness is significant enough to delay your research. For extended periods of illness, it is advisable to consider a suspension of your studies (see below).

Personal
Students can get personal help and advice from a number of sources throughout the University. An overview of the different services can be found on the University's educational support website where you will find information about counselling, mentoring (for academic help with stress), the Disability Service, the Chaplaincy and The Advice Centre, which is run by the Student Union.

10.3 STUDENTS WITH DISABILITIES AND SPECIAL LEARNING NEEDS

The University's **Equal Opportunity policy** has been in place since 1988 and states that *no person will be discriminated against on any grounds which are not relevant to their academic ability, including disability.* It is very helpful for the University to know if a student has a disability or a specific learning disability – **even if there is no need for any particular help.** The University will do everything it can to support you and to minimize any practical problems that such a student may face.

The University has a number of advisors for students with disabilities and the Disability service can be contacted by email at enable@soton.ac.uk . Support is normally available for students with mobility problems, visual impairment, hearing difficulties and those with dyslexia. Please visit the website at www.southampton.ac.uk/edusupport/ for full details of services available and specific contacts.

Students with dyslexia should seek the advice of the Dyslexia Services Coordinator, (dyslexia@soton.ac.uk), who will be able to guide you with regard to appropriate learning strategies and can advise the Academic Unit concerning appropriate support for studies.

10.4 CAREERS

The Academic Unit will do its very best to help you with any questions you may have regarding your future career and your supervisor is a good place to start. In addition, the University has a Careers Advisory Service (CAS) located in Building 37. Again more details of this are available in your University Student Handbook. For further information you can also visit the careers service website at:

http://www.soton.ac.uk/postgraduate/careerprospects/index.html

10.5 LIBRARY

The Library's aim is to meet your information needs. Most of the resources needed by students are in the Hartley Library on University Road, but there will be times when you need to go to the libraries on the University's other sites. The Library offers these services:
- Book borrowing
- Periodicals
- Access to electronic materials
- Access to printed materials not held in the Library (the Inter-Library Loans service)
- The Reserve Collection for books in high demand. The loan period is short to bring about rapid availability.
- Thesis binding
- Photocopying machines (you buy a print card)
- WebCat (the Library's automated catalogue)

The opening hours and full details of library services can be found at

www.soton.ac.uk/library

10.6 STUDENTS UNION (SUSU)

The Students' Union is the largest umbrella organisation in the Unversity for student-run social events, societies, sport and support. All students registered at Southampton are members of the Students' Union. Full details of what they offer may be found at their website:

http://www.susu.org

10.7 ENGLISH FOR ACADEMIC PURPOSES

Registered students at the University of Southampton who would like help with their English can attend the **free** English language support courses provided throughout the academic year. Please see the Centre for Language Study website at www.southampton.ac.uk/cls/english/support.html

10.8 STUDY SKILLS AND LEARNING STYLES ADVICE
Academic Skills are all about helping you learn how to be a more effective learner and develop the research skills that will help you now and in the future. This online guide will help you find what works for you. www.studyskills.soton.ac.uk

10.9 UNIVERSITY OF SOUTHAMPTON STUDENT SERVICES

The Student Services Centre is located in Building 37 (George Thomas Building) on University Road (opposite the Jubilee Sports Centre). They are open Monday–Friday 9am-5pm all year round (except National holidays and University Closure periods).

The Student Services Centre offers a drop-in Reception and deals with general enquiries from financial information to University accommodation information .Please see their website or drop into the centre for details of their services www.southampton.ac.uk/studentservices

10.10 IT SUPPORT

ServiceLine is the central University IT help-line. It handles all queries relating to IT facilities and is provided by the University iSolutions team.

ServiceLine is open Monday to Friday from 8.30am to 6.00pm on each day that the University is open, and can be contacted by email or telephone.

To contact ServiceLine use one of the following routes:

Online: www.soton.ac.uk/ithelp

Email: serviceline@soton.ac.uk

Phone: Ext 25656 (internal calls), 73-25656 (SGH), or +44 (0)23 8059 5656 (external calls)

When you contact ServiceLine you will need to provide them with the following information to help them resolve your enquiry as soon as possible (if you do not provide all or some of this information it may result in a longer resolution time for your enquiry):

- Your University username
- Location of reported incident
- Contact name, and phone number
- Asset number of equipment if possible (usually starts with ISS or UOS followed by a number)
- Description of equipment
- Description of fault
- Best times to contact you, or arrange a visit (if required)
- Any other information that you feel relevant, for example an error code, or screen shot.

iSolutions also offer a wide variety of training programmes and Deskside coaching. Please refer to their website for details www.southampton.ac.uk/isolutions/staff

10.11 BLACKBOARD

Some courses use Blackboard, the University's main online learning resource. Registering for these courses will result in access to the Blackboard site where you will find information including lecture notes, assignment questions and essential readings. Some courses have

automatic enrolment, some allow self-enrolment, others will require the course coordinator to give you access. Please contact the course coordinator as necessary.

You can log onto Blackboard at:

https://blackboard.soton.ac.uk/

using your University username and password.

iSolutions have provided an online site containing information and help for students using Blackboard:

www.southampton.ac.uk/isolutions/computing/elearn/blackboard/student/studentindex.html

10.12 UNIVERSITY STUDENT HANDBOOK

The 2012/13 University Student Handbook is available on the Student Services website

http://www.southampton.ac.uk/studentservices/

Whilst some of the information is aimed at undergraduate students, there is a lot of information about campus services and activities and how to get involved. Please do take the time to read this whilst you are studying here.

10.13 ID CARDS

If you lose your ID card, you can order a new one via the University online store. If replacements are required for changes to course dates these will be checked by the Student Records team before the Student Services Centre print the card.

10.14 ACADEMIC REFERENCES

Your supervisor will be able to provide a reference for you. However, it is important to ask permission before giving his/her name as a referee. You may find it helpful, therefore, to provide your potential referee with some detailed information about yourself in the form of a CV or a personal information sheet.

The provisions of the Data Protection Act mean that information should not be provided about a student to a third party without their consent.

Addendum to the

Faculty of Social and Human Sciences

Postgraduate Research Student

Handbook 2013/14

AU Mathematics

Addendum to Section 1.6: Postgraduate Research Coordinators

Each Research Group in Mathematics (Applied Mathematics, Operational Research, Pure Mathematics, Statistics) designates one member of the group as Postgraduate Group Research Co-ordinator (PGRC). The PGRC is normally the person who oversees MPhil/PhD admissions and has an impartial and mediating role in the monitoring process. In the case of a student supervised or advised by a PGRC, a substitute co-ordinator for that student is appointed from the same subject group. Further responsibilities of the PGRCs are laid out in the Addendum to Section 8 below. Currently, the PGRCs are as follows.

Applied Mathematics: Dr Ian Hawke, I.Hawke@soton.ac.uk

Operational Research: Dr Houduo Qi, H.Qi@soton.ac.uk

Pure Mathematics: Dr Bernhard Koeck, B.Koeck@soton.ac.uk

Statistics: Dr Sujit Sahu, S.K.Sahu@soton.ac.uk

Addendum to Section 3: Monitoring and Supporting Your Progress

Nature of the Programme
The primary aim in following a postgraduate research course is the acquisition of research skills which are developed in undertaking original and independent research work. The writing of the thesis is a significant part of the training programme. For this reason it is important to bring the research programme to a satisfactory conclusion through the completion of a thesis within the allotted time span. (Maximum periods of candidature are 4 years full-time, 7 years part-time. Minimum period of candidature for the award of an MPhil is 12 months full-time, 24 months part-time; for a PhD it is 24 months full-time, 36 months part-time. Extensions to candidature beyond the maximum periods are only allowed in very exceptional circumstances – see also below.) The School has monitoring and assessment procedures which allow progress to be assessed at regular stages during the research candidature. Your research includes supervised study, together with a training programme based on an assessment of your needs for both research and generic skills.

The School as a Research Environment
The School is a centre of scholarship and learning as well as research productivity: all academic staff, unless appointed for teaching only, are research active and there is a very strong commitment to excellent research. There are also many international academic visitors to the School. This provides an environment in which research students can interact with a wide variety of people recognised in their field both nationally and internationally, as well as other research students and postdoctoral research staff. Every new postgraduate research student is provided with a new computer appropriate for their work, their own workspace (usually in a room with other research students), and social facilities shared with the School's staff.

The School recognises differences, special needs and diversity within the student and staff community: provision of equal opportunities is fundamental in all policies and

procedures. Research students may make reasonable use of School electronic printing facilities for the production of papers and material for theses. Students should not use this facility for making multiple copies of the same document, particularly theses/dissertations. Copies in addition to the master should be made using the photocopying facilities. Research students are permitted to use School photocopying facilities; this is only for copying academic material in support of their research studies (this does NOT include copying of the thesis which is considered to be private copying). Private copying is not normally permitted: in exceptional cases the Print Room Manager may allow access, and a charge in line with School policy will be made.

Role and Responsibilities of the Supervisory Team
Every research student is allocated to a supervisory team which consists of at least of two Supervisors, one of them being the main Supervisor. The team is set up so as to provide adequate academic expertise from active researchers in the discipline, and at least one member of the team will normally have had prior experience of supervision which has led to a successful PhD completion. The main source of guidance for the research student is the main Supervisor, who has the main responsibility for assessing training needs and setting a training programme, overseeing the design and progress of the candidate's research project and for providing academic advice to the candidate. The main Supervisor is the supervisory
team co-ordinator. The amount of contact between the student and Supervisors will vary considerably according to the nature of the research topic, the needs of the student, the state of progress and many other factors. Taking the research course as a whole a full time student may expect to have some contact with the Supervisor for 2/3 hours per week on average: it must be stressed that this is only a guideline. The School is research-led and its academic staff often attend learned international or national conferences or visit other institutions, the latter sometimes taking them away from the School for several weeks. The University expects that no Supervisor has an excessive volume of other responsibilities so as to put the quality of supervision at risk. Where a Supervisor is going to be away for a time it may be that the student can travel with him/her and gain valuable experience of another research organisation, or that an alternative Supervisor will be appointed by the School, in consultation with the student and the supervisory team, for the relevant period. In some cases Supervisors will make arrangements to continue supervision by e-mail correspondence: it is important that, when this happens, the student still has a Southampton-based academic contact about their project. Apart from overall responsibility for the day-to-day supervision of the student's research and the need for all research active academic staff to maintain and enhance their subject knowledge, other duties of the Supervisor include:

Apart from overall responsibility for the day-to-day supervision of the student's research and the need for all research active academic staff to maintain and enhance their subject knowledge, other duties of the main Supervisor include:

(a) meeting with the student at the outset to identify the initial objectives of the research;
(b) assisting the student in an analysis of training needs with respect to research/generic (transferable) skills, identifying sources of provision at discipline/School/Faculty level or externally, and a timescale for undertaking the training;

(c) ensuring the student has access to information about events organized for, or open to, research students in the discipline/School/Faculty, including workshops, seminars, conferences;

(d) advising on how a student who has disclosed a disability may be supported in their studies and the various support services available;

(e) clarifying the School's progress monitoring procedures;

(f) giving guidance about:

·the nature of research and the standard expected

·the planning of the research programme

·literature and sources

·attendance at taught classes, if relevant

·requisite techniques (including arrangements for instruction where necessary)

·any ethical considerations within the project and on obtaining approvals via the School's Ethics Committee where relevant.

·the academic integrity rules of the University with respect to plagiarism, copyright and any intellectual property issues which might arise from the research (see University Calendar/Regulations for Higher Degrees and the Code of Practice for Research Candidature and Supervision);

·the role of the supervisory team and academic supporters, and agreeing the pattern and frequency of meetings so that regular contact is maintained, e.g., regular tutorial and seminar meetings;

·the sources of advice and support at University and School level, including safety legislation, Equal Opportunities, intellectual property and careers guidance;

·ensuring that the University's Equal Opportunities Policy is taken into account in all aspects of the student's experience and recognising differing needs arising from student diversity and individual circumstances and reviewing this regularly during candidature; this can include additional language support if appropriate;

·liaison with the student about any pastoral support

(g) providing information so that a student can begin their studies with an understanding of the academic and social environment within which they will be working, e.g., the institution's research ethics and codes and those of relevant professional bodies and discipline groups; the expectation of the independence and responsibilities of the student; social activities, participation in decision making;

(h) giving detailed advice on the necessary completion dates of successive stages of the work, requesting written work, as appropriate, and returning such work with constructive criticism and in reasonable time so that the whole may be submitted within the scheduled period;

(i) arranging as appropriate for the student to talk about his/her work to staff or at graduate seminars, and to have practice in oral examination;

(j) monitoring the student's work in accordance with School procedures, providing progress reports, discussing progress and problems with the student, and making recommendations in connection with changes to the student's registration at appropriate times;

(k) ensuring that the student is made aware of any inadequacy of progress or of standards of work, and developing a constructive plan for improvement;

(l) encouraging publication of work as appropriate;

(m) providing information/reports so that the School Office can liaise with and report to any grant awarding body;

(n) organising the Final Examination (viva)
etc.

Role and Responsibilities of other Supervisors

Each candidate will also be informed of the name of at least one other Supervisor who is part of the supervisory team. This role complements that of the main Supervisor. The Second Supervisor is competent in the student's research topic and will critically examine the documentation produced by the student at each monitoring stage. It is normally expected that a second Supervisor will also play the role of internal examiner at the MPhil or PhD viva, provided that there is no conflict of interest, caused, for example, by an active involvement in the student's research
project.

Role and Responsibilities of the Postgraduate Group Research Coordinator (PGRC)

The PGRC ensures that the monitoring procedures of the School and the Faculty are followed, and that the reports are duly filled in. Reminders that meetings and reports are due will be sent out automatically. The PGRC chairs particular monitoring meetings and browses reports of students and supervisors, but is not expected to make an in depth technical assessment. If PGR students have problems with their supervisors, examiners or with how their project is proceeding they should talk in
the first instance to their group PGRC. In case that the PGRC is one of the supervisors, a replacement PGRC for the student will be nominated

Students who have matters of concern (academic or non-academic) which they feel unable to resolve with their Supervisors or their PGRCs are encouraged to discuss such problems with the Director of the PhD Programme.

Role and Responsibilities of the Student

The ultimate responsibility for the thesis lies with the student and it is therefore essential that he/she participates fully in planning the research project, considering advice and discussing the work with the supervisory team. As well as following the research programme agreed with the Supervisor each student is expected to:

(a) show commitment to the research project and programme of studies;
(b) identify through a training needs analysis with the Supervisor what training/skills development will be needed or useful, attend the induction course, attend the required research degree training programme elements, and participate in courses/events within the Graduate School;
(c) discuss with the Supervisor the type of guidance and commitment he/she finds most helpful, and agree a schedule of meetings;
(d) comply with the School's safety policy and any particular safety requirements related to the project being undertaken as identified by the supervisory team;
(e) actively support and respect diversity and the special needs of individuals within the School and the University, and be aware of the diverse cultural, social and educational backgrounds of fellow students, staff, and research contacts, recognising the real and potential benefits they bring to the learning experience;
(f) participate in appropriate seminar series including the student's own presentation of an occasional seminar;

(g) attend conferences or summer schools likely to further the student's training in research, and at least one external generic skills training event;

(h) prepare papers for publication or presentation at appropriate conferences;

(j) agree with the supervisory team the amount of time to be devoted to the research and the timing and duration of any holiday periods;

(k) take the initiative in raising problems or difficulties, however elementary they may seem, with the Supervisor or, if not appropriate, with the Postgraduate Group Research Coordinator or the Director of the Graduate School, and raise any changes to learning support needs which might occur during candidature.

(l) maintain the progress of the work in accordance with the stages agreed with the Supervisor, including in particular the presentation of written material as required;

(m) produce progress reports as specified in the Monitoring Procedures and, if seeking transfer of registration from MPhil to PhD, a more substantial transfer thesis;

(n) respond promptly and fairly to University and School requests for student feedback, eg through questionnaires;

(p) decide when the thesis is to be submitted after taking due account of advice from one or more members of the supervisory team as appropriate;

(q) ensure that the University's Intellectual Property Regulations are adhered to, consulting as appropriate with relevant members of the supervisory team and the University;

(r) be aware of the ethical aspects of their project (if any) and to seek approval via the University's Ethics Committee where relevant.

The student's particular activities under these headings will be directed by the Supervisor in consultation with the supervisory team and/or the PGRC.

Monitoring
The School monitors annual reports on the progress of each registered student, based on a summary of progress drawn up by the student and an assessment by the Supervisor, including an estimation of the likelihood of the student completing the thesis within the required time limit. Any particular problems encountered by the student – eg access to resources or computing facilities – will be noted, and appropriate action taken. In cases where progress is unsatisfactory, the School may issue a warning to the student and, if necessary, later recommend termination of course. Progress reports may be sent to funding bodies (eg EPSRC) if required: these must be dealt with through the Graduate School Office, even if they ask for a report from the Supervisor. Such reports may include more detailed reference to progress if necessary. It is important to recognise that most School funding is for three years only and will NOT be extended unless there are exceptional circumstances affecting the project. Submission of a thesis is normally expected within 3.5 years of the student's start date and certainly within the 4 years of allowed candidature (in line with University and EPSRC requirements) and students and supervisors must plan accordingly. The monitoring milestones are set with this in mind.

The School has established procedures for the monitoring and assessment of progress of research students throughout their period of registration in the Graduate School of Mathematics. As well as enabling the School to keep in touch with general progress and to be alerted to any particular difficulties, these procedures not only help students to gauge their achievements but also form an important part of the assessment of research

training needs and how these can be met through the research training programme. These procedures follow the procedures laid out in Section 3 of the FSHS PGR Student handbook and amend them as follows.

First Year of Registration

1 Month Report: The student draws up, in consultation with the supervisor, a training needs analysis, identifying courses (School, EPSRC, subject-related and generic skills etc.) that the student plans to undertake. These are entered by the student on PGRTracker.

5 Month Report: The monthly report of month 5 should contain a short (1 page) written statement of objectives and work plan, description of the problem area, mentioning as far as possible the specific aspects of research to be pursued, and a summary of the literature that is being studied.

9 Month Report: The monthly report of month 9 should include a poster (A1 size) of current work. The student prepares the report, normally using TeX or LaTeX, which describes the work of the first year so far in relation to the objectives set out in the earlier 5 month statement. The report should normally be no more than 10 pages long. It should also include a summary on a separate page, with details of training experience, including lecture courses, computing courses, workshops or conferences attended. Comments on any non-academic issues of concern are also invited.

In addition, the Student should give a short (20 min) talk based on the report to all the other first year research students. The supervisors and the PGRC may attend the talk, together with other academic staff and research students who may be interested. Audience feedback will be given to the student at the nine month monitoring meeting. For the majority of students, the talks will be held in late June/early July.

The student prepares a poster display (A1 size) on current work. All posters are exhibited in the Staff Reading Room (Room 4005) throughout the week in which the talks above are given. Guidance on display of the posters will be provided by the supervisors.

Annual Report: A longer (but normally no more than10 pages) written report by student on first year work with plan for second year and any general comments. This can be an updated version of the 9 month report. The Student must ensure that their training record is up to date, detailing the training successfully completed so far. The supervisors prepare a 1-page report on the student's progress, which may include comments on non-academic issues. Specific reference should be made to the student's report annual report, with an informal assessment of style and presentation as well as content. Remarks on the student's talk and poster (see above) should also be included.

Second Year of Registration

Annual Report: Between Month 18 and Month 24, Student submits annual report (transfer thesis) of at least 30 pages (and normally no longer than 60) describing work to date and plans for final year. This document, normally prepared using TeX or LaTeX,

surveys background material in terms addressed to a mathematical non-expert in the field, describes results to date and sets out a work plan for the final year as agreed with the supervisor. The survey section could form a basis for a chapter in the final thesis. Attached to the transfer thesis should be a 1 page summary of academic progress, together with details of training experience, including lecture courses, computing courses, workshops or conferences attended since the First Year Report. The summary page may also include comments on non-academic issues of concern.

This is followed by a formal meeting with the supervisory team and PGRC, after which the supervisory team make a recommendation to the School regarding whether or not transfer to PhD registration can take place and, if not, when this might be expected (research students are initially registered in the Graduate School as MPhil candidates). Students should also produce an up-to-date training record for approval. Successful transfer depends on satisfactory progress in research and training having been made at this stage.

Criteria for transfer are:
· that the student has demonstrated the ability to manage the research project, to become proficient in the special field of research involved, and to achieve success at PhD level given adequate motivation and perseverance;
· that the project being undertaken is of sufficient scope, originality and theoretical interest to constitute a genuine contribution to the subject in the form of the understanding of a problem, the advancement of knowledge or the generation of new ideas;
· that the student has shown a sufficient commitment to training in both generic and subject-related skills as recorded in their training record.

Where a student has carried out part of his/her research studies at another institution, there should usually be a minimum of 12 months between the date of transfer and submission of their thesis, even if the student has already changed from MPhil to PhD registration before the transfer.

At 24 months the relevant PGRC will check the training record of the student to see if plans are on course. If there might be a problem with the number of credit points that will be accumulated by the end of the third year, then the DoPP will be informed. A consultation process will then take place involving the student, supervisor, PGRC and DoPP to agree an appropriate plan of action.

Third Year of Registration

33 month meeting
IMPORTANT: most financial sponsorship is only for 36 months: it is essential that the 33 month meeting discusses issues relating to candidature and cessation of funding. If the PhD thesis has not yet been submitted, then the 33 month meeting will be used to address work remaining to be carried out and to agree on a realistic deadline for submission. The PGRC should attend this meeting. Students should also produce an up-to-date training record for approval. After this meeting the supervisor and PGRC

make a recommendation to the School regarding transfer to nominal or part-time registration if appropriate:

nominal: no further supervision required and first draft of full thesis seen by the supervisor (single payment charged after 6 months of £100). The Students exemption from Council Tax will no longer apply and any remaining studentship payments may also be affected.
part-time: significant supervision still required (part-time tuition fees would be payable). The Students exemption from Council Tax will no longer apply and any remaining studentship payments may also be affected.
full-time: substantial supervision still required (full-time tuition fees would be payable).

These recommendations can be confirmed or amended at further meeting of the parties as necessary. If substantial supervision is still required the registration, and hence the fee, must remain full-time. Part-time registration also carries a tuition fee implication. A written report is prepared by the supervisor, outlining the work remaining to be carried out and setting a realistic deadline for submission.

IMPORTANT: The default option (if no recommendation has been made and the thesis has not been submitted by the end of three years of full time registration) is the last one, in which case the student remains liable for the **payment of full-time fees**. Continuation of School/Research Council studentship beyond 3 years is unlikely. Any consideration of such an extension of funding needs to be raised with the Director of the PhD Programme as early as possible.

36 month meeting: Unless there are very exceptional circumstances which have been agreed with the DoPP and the Faculty Graduate School Office (and requiring formal approval processes for an extension), submission of the thesis must be before the end of the fourth year of registration.

Fourth Year of Registration

For students who are still in registration, the progress of the thesis will be monitored by the DoPP, and recommendations for changes in registration status will be made to the School as appropriate. The University and the funding councils expect every full-time student to have submitted within four years. **Extension to this deadline can be obtained only in exceptional circumstances. It is therefore extremely important that you submit within four years.**

Deadlines for part-time students

The following list of deadlines for part-time PGR students has been drawn up based on the full-time deadlines. University regulations stipulate that part-time PhD students should submit their thesis at most within seven years of registration (as opposed to four years for full-time students). Moreover, the University Code of Practice requires that there should be yearly formal monitoring meetings independently of whether the student is full-time or part-time.

At 9 months	The equivalent of the full-time five months report.
At 16 months	The equivalent of the full-time nine months report.
At 24 months	The equivalent of the full-time annual report for year 1.
Between 32 and 42 months	The equivalent of the transfer thesis.
At 36 months	Monitoring meeting with report from the PGRC only (unless transfer meeting has already occurred).
At 48 months	Monitoring meeting with report from the PGRC only
At 60 months	Equivalent of the full-time 33 months report.
At 63 months	**Expected submission date (equivalent to 36 months full-time).**
At 72 months	Monitoring meeting with report from the PGRC only (unless submission has already occurred).
7 years (84 months)	Maximum length of candidature.

Addendum to Section 8: Training

Background
The International Review of Mathematics concluded that the training of UK PGR students should be enhanced to improve their international competitiveness as researchers. EPSRC expect that the students it funds should receive an assessed programme of training including a variety of activities, from formal subject-related taught courses through to generic skills training. In addition we also wish to instil in our PGR students a wider appreciation of mathematical culture, ranging from active participation in seminar programmes to preparation and delivery of short courses and interaction with the wider mathematical or interdisciplinary communities. The following programme consists of significant broadening of the training opportunities available to students, backed up by a scheme of credit points that students can accumulate throughout their studies.
The purpose of this addendum is to explain the credit points scheme, the procedures involved and the responsibilities of the parties. This scheme will run in parallel with the usual research milestones at the end of year 1 and year 2, the procedures for which are detailed elsewhere.

The School's training programme for research students aims to:
· ensure that students develop an awareness of their own training needs, both generic and discipline-specific;
· assist students in choosing between a range of different approaches to their study;
· achieve a balance between subject-specific and more general material which might relate to future employment needs;
· encompass the basic principles of research design and strategy including techniques for use in research study;
· provide opportunities for the presentation of research, both oral and written;
· provide access to relevant seminar programmes and conferences within and beyond the institution;
· use IT appropriately for their research and its presentation;

· to plan their work and prioritise activities;
· to appreciate the factors contributing to the success of formal and informal teams where relevant;
· to provide effective support to others when involved in teaching, mentoring or demonstrating activities;
· to take ownership of their own career progression.

The School provides training through a variety of channels: internally, through EPSRC taught-course-consortia, through the Faculty Graduate School, through the University, and externally. Students are expected to take a full range of courses as prescribed by the Director of the Graduate School and/or in consultation with their supervisory team.

PGR Credit Points Scheme: Portfolio of Activities
Students will undertake a variety of activities ranging from generic training to subject-related courses. Much of the generic training is already provided within the School, Faculty or University. The successes of all four research groups in the EPSRC call for training centres for PGR students adds significantly to what can be offered to the students in subject-specific training. We are members of three consortia, made up from Graduate Schools of Mathematics across the UK, who have pooled their resources to provide instructional courses for their PGR students:
Mathematics Access Grid Instructional Courses (MAGIC): providing pure and applied mathematics courses over the Access Grid in our own dedicated Access grid Room (http://maths.dept.shef.ac.uk/magic/index.php) in room 7D.
Academy for PhD Training in Statistics (APTS): providing residential week-long courses in postgraduate statistics (http://www2.warwick.ac.uk/fac/sci/statistics/apts/)
National Taught Course Centre for Operational Research (NATCOR): providing residential week-long courses in operational research (http://www.natcor.ac.uk/)

All students are expected to attend relevant courses offered by these consortia. These courses complement the existing Masters and undergraduate courses, or tailor-made reading courses that are available within the School and the University. The choice of courses should be discussed between the Supervisor and Student when planning a training programme.
You are required to take approximately 100 hours of academic courses over the span of your PhD studies. It is expected that normally the majority of the training will be through the EPSRC funded postgraduate training centres. Moreover, the aim of the training is to broaden the knowledge of the student and not just give him or her a more in depth knowledge of the specific field of the research project.

The training progress of a Student will be monitored through PGRTracker via the monthly reports that a Student must submit. These will contain details of all training activities undertaken, together with the credit points awarded. **It is the responsibility of the Student** to keep these up to date.

PGR Credit Points Scheme: Required Points Total
Each training activity will attract a certain number of training credit points. Students eventually registered for a PhD will normally be expected to accumulate at least 50 credit points during their PGR studies. At least 30 of these credit points normally will be

obtained through subject-related training. Students normally will be expected to accumulate at least 20 credit points in each of the first two years and 10 in the third year. Industrious students may gain more credits in the earlier years or obtain in excess of 50 points over 3 years. The number of training points required for Students who eventually submit for an MPhil degree will be treated differently. The allocation of credit points will normally be made according to the attached tariff (see below).

However this may be varied by the Director of the PhD Programme (DoPP) in consultation with the group Post-Graduate Research Coordinators (PGRCs) to reflect the variability of training courses and activities undertaken, both in length, type, intensity and/or intellectual level. An indicative guide of how points might be achieved is attached, with the expectation that to accumulate the necessary training points a Student will have successfully completed at least 100 hours of subject-related courses during their studies. It is understood that training opportunities may arise that were not considered (or possibly did not exist) at the start of each year of study. Equally, planned activities may evolve or change and different training needs may be identified as the Student's research evolves. The system will deal with this

flexibly and any changes can be agreed through the existing annual progress reviews meetings, and during monthly progress reports.

PGR Credit Points Scheme: Mechanism of Assessment of Subject-Related Training Courses

Each subject-related course must include some form of assessment. You will be able to claim points for a course only if you have passed the assessment. Each of the training centres modules come with their own assessment. In the case of an existing University module the assessment will consist in sitting informally the exam and/or coursework. If the assessment takes the form of a viva (for example, at the end of a reading course), two relevant members of staff should be present, make a record of the proceedings and agree on the outcome. Staff may be asked for records of assessment in the event of a dispute.

PGR Credit Points Scheme: Mechanism of Assessment of Generic Training

Depending on the type of activity, generic training may, or may not, involve a form of assessment. For some activities the participation of the student in the generic skills activity will be sufficient. However, in others, the relevant staff member may take into account the degree of engagement of the student. The successful completion of each activity must be noted on PGRTracker, together with any related comments.

PGR Credit Points Scheme: Claiming Points

The record of each training activity needs to be validated by the relevant staff member(s). The type of activity, the form of the assessment, the outcome, the number of points that the student believes should be associated to the activity and any other relevant comments must be recorded on PGRTracker via monthly reports. This will also be validated by the Supervisor, (for example, during one of the regular research supervisions), who may add any relevant comments. It is recommended that the Supervisor should ensure that the student regularly updates the record and keeps a back-up copy of it for their own records. At the regular annual monitoring points, progress will be examined by the PGRCs and DoPP. To ensure consistency between research groups, DoPP will have the final decision as to the allocation of points to each individual student which will then be recorded on the TR. The outcome will be communicated to the student.

PGR Credit Points Scheme: Sanctions
To maintain the integrity of the scheme, if not satisfied with the research progress or accumulated training points of a student, DoPP may decline to sign off research progress reports at any of the regular monitoring points. The ultimate sanctions are that a Student may be delayed from transferring to a PhD or even being examined for a research award.

PGR Credit Points Scheme: Right of Appeal
It is hoped that all disputes concerning training can be resolved informally. However a right of appeal for the student will exist. If they wish to pursue an appeal, they should, in the first instance, contact the DoPP.

Timescale, Reporting and Feedback Procedures

This section gives a detailed account of the reporting and feedback procedures of the training scheme at each stage during the course of PGR study.

Timescale, Reporting and Feedback Procedures: Year 1
In year 1, students will normally be expected to accumulate 20 points.

Timescale, Reporting and Feedback Procedures: Initial Approval
At the start of the research programme (Month 0) research students will discuss with their Supervisor an outline training programme for the first year, in terms of likely seminars, courses and conferences to attend here, or elsewhere, as well as any formal reading courses to be undertaken. This programme will be documented on PGRTracker. The DoPP will resolve any questions about the suitability of the training programme with the PGRC and the Supervisor. The student will be informed of the outcome.

Timescale, Reporting and Feedback Procedures: 5 Month Report
Along with their 5 month research report, the student should ensure that their training record is up to date, detailing the training successfully completed so far. This will be considered by the Supervisor. The student will be informed of the outcome.

Timescale, Reporting and Feedback Procedures: Annual Report and Meeting
Along with their annual research report, the student should ensure that their training record is up to date, detailing the training successfully completed so far. In addition to the research progress the status of the training programme, any variation in it, and plans for the second year of training should be also be discussed at the annual progress meeting. An outline of the future training plans should be recorded on the and any issues arising should be recorded in the overall progress report made by the PGRC. This will be considered by the PGRC along with the annual report by DoPP for approval. DoPP may issue guidance to the Student and Supervisor if progress towards accumulation of credit points is deemed not to be sufficient. The student will be informed of the outcome.

A preliminary version of the annual report should be provided at month 9 to the Supervisor for comments, together with an up to date training record.

Timescale, Reporting and Feedback Procedures: Year 2

In year 2, students will normally be expected to accumulate 20 points, for example 5 drawn from generic, and 15 from subject-related training.

Timescale, Reporting and Feedback Procedures: MPhil to PhD Report and Meeting

Along with their MPhil to PhD report (i.e. their transfer thesis), the student should ensure that their training record is up to date, detailing the training successfully completed so far. The relevant PGRC will check the training record of the student to see if the training plans are on course. If it is perceived that there is likely to a problem with the number of credit points that will be accumulated by the end of the third year, then the DoPP will be informed. A consultation process will then take place involving the student, supervisor PGRC and DoPP to facilitate the implementation of a corrective plan of action. The training progress and plans for the remainder of the training should be discussed and the training record and reports made available to DoPP for approval. The student will be informed of the outcome. *Note that transfer of status from MPhil to PhD may be delayed by DoPP if progress in achieving the training credits is not deemed to be sufficient.*

Timescale, Reporting and Feedback Procedures: Year 3

In year 3, students will normally be expected to accumulate 10 points, for example, 8 drawn from generic, and 2 from subject-related training.

Timescale, Reporting and Feedback Procedures: 33 Month Check

The 33 month meeting considers the likely submission date of the Student's thesis and makes recommendation on the registration status of a Student. By this stage almost all the training should have taken place. The student should ensure their training record is up to date. Whether the study is to extend beyond 3 years the DoPP will take the number of training credit points accumulated throughout the study into account. This may influence any decision whether to approve a transfer to nominal status.

Timescale, Reporting and Feedback Procedures: Study Beyond 3 Years

If the period of study extends beyond three years, provided the student has accumulated a sufficient number of points (normally 20 generic and 30 subject-specific) they shall not normally be required to undertake further training.

Timescale, Reporting and Feedback Procedures: Prompt or Early Submission of a Thesis

If a PhD thesis is submitted on or before 36 months, the Student will submit their training record to DoPP for approval. The Student will normally be expected to have accumulated the required 50 points before appointment of an external examiner will take place.

Timescale, Reporting and Feedback Procedures: Suspension of Study

If a Student suspends their registration for whatever reason, their training programme will also be suspended. The credit points already accumulated in the scheme will remain active.

Points tariff

The following is a guide to the points that may be claimed. Activities marked **(C)**

are compulsory. Failure to attend such courses may result in sanctions. Additional compulsory courses may be added during your PGR studies by DoPP

Generic Training
Induction activities **(C)** (½ day at start of First Year): [1]
Computing Workshop **(C)** (four 2-hour sessions in Semester 1, Year 1): [2]
Demonstrating Workshop **(C)** (1-day workshop on tutorial classes etc.): [1]
Attendance at external workshop on e.g. project planning: [1]
Attendance at a computing course: [1]
Attending off-campus UKGRAD residential course (years 2 or 3): [4]

Subject-Related Training
Regular seminar participation, per semester: [2]
Regular PG course (School, MAGIC, APTS, NATCOR): [4]
Regular MMath or Msc course (not previously taken by the student): [4]
Reading course [as agreed with Research Group Coordinators and DoPP]: [4]
Giving a talk at an internal seminar: [2]
Giving a presentation at an external conference: [4]
Giving a poster at an external conference: [2]
Preparing a paper for publication: [4]
Assisting in refereeing a paper: [2]
Conference attendance (maximum 2): [2]

Credit points will only be awarded for a reading course or a lecture course if the student successfully completes the stated form of assessment. If the assessment takes the form of an informal viva, the Supervisor and one other member of staff should be present to establish that the student has acquired sufficient grasp of the material to earn credit points. Students cannot claim credit points for MSc, MMath or other courses previously taken in fulfilment of other degree requirements. Each PGR training course taken can only be claimed for once.

Responsibilities of Each Person in the Training Scheme

In addition to the usual duties of each person during a PhD study, the scheme will require the following of each participant:

Student:
• To agree a training programme with their Supervisor, in agreement with the PGRC and DoPP throughout their study.
• To attend the agreed training programme and to undertake the designated assessments.
• To notify their Supervisor and PGRC of any change to their training programme due to change in courses, their cancellation, or any other reason.
• To obtain the necessary validation of their training activities with signatures and comments from the relevant member of staff, be it Course Leader, Supervisor, Assessor PGRC, DoPP.
• To make a claim for credit points, with their Supervisor, by recording training activities and credit points in monthly reports and annual reports.

• To keep their own original record of training attended or carried out up to date at the annual progression points.
• To amend the training record in consultation with the Supervisor in light of changes in the training needs or programme.

Supervisor:
• To agree a training programme with the Student, in agreement with the PGRC and DoPP.
• To validate the training record of the Student when necessary.
• To monitor the progress of the Student's training by periodically informally checking their training record during the course of normal research supervisions.
• To help amend the training record in consultation with the Student in light of changes in the training needs or programme.
• To alert the PGRC if at any stage they feel that a Student's training programme is being adversely affected.

Course Leader:
• To provide a suitable postgraduate course with an identifiable form of assessment, oral, written or otherwise.
• To outline clearly to the Students and PGRC the form of assessment required and the criteria for success (applies also to Reading Courses).
• To assess the Students taking the course.
• To liaise with PGRC and DoPP where relevant over the credit points tariff for each activity.

PGRC:
• To approve the training record annually to the DoPP with recommendations for the number of credit points to be awarded.
• To check on the progress of the training programme of each student in their research group annually.
• To alert the DoPP if at any stage they feel that a Student's research programme is being adversely affected.
• To liaise with DoPP and Course Leaders where relevant over the credit points tariff for each activity.
• At the beginning of each year to liaise with DoPP or external course deliverers to provide Students and Supervisors with a list of PGR courses in their subject group

DoPP:
• To consider the progress of each Student in their training.
• To decide on the awarding of credit points annually for each Student.
•To liaise with the PGRC and Course Leaders where relevant over the credit points tariff for each claimed activity.
• To ensure that the Student is notified of the outcome of the monitoring of the training record annually.
• To implement appropriate measures in the case of a deficit in training credit points.
• To liaise with all parties concerned to resolve disputes.
• At the beginning of each year to liaise with PGRC or external course deliverer to provide Students and Supervisors with a list of PGR courses.

Addendum to Section 8.4: Teaching

Postgraduate research students are invited to assist with teaching in the University, which is paid for at an agreed hourly rate. There are restrictions on the amount of work undertaken and the level of payment before National Insurance/tax deductions are made. Students undertaking such duties MUST have attended relevant training courses as identified by the School.

.