

Research Degrees that include periods of off-campus Study

This is a defined Policy which all Faculties are required to follow

The following policy is intended to outline the different types of circumstances where a research student may be spending time away from the University as part of his/her programme of study. Some cases require formal agreements, others are less formal, but all arrangements should be made in writing so that the student, the University, and any third party are clear about what is expected and where responsibilities lie. It is important that the University's [Higher Degree Regulations](#) which include the [Code of Practice for Research Candidature and Supervision](#) underpin any agreement or arrangements, as the principles set out in these documents apply to all research students irrespective of their location.

1. The Split-Site PhD

In 2006/07, the University approved a particular model of research degree – the Split-Site PhD – where the student spends a substantial amount of time in his/her home country at a partner institution. This model was developed specifically to allow flexibility for international students, and includes provision for supervisory input from both the University of Southampton and the partner institution. For each Split-Site arrangement with a partner institution, a Memorandum of Agreement is signed at University level, with an individual supervision agreement for each student undertaking the programme.

A *Regulatory Framework for Split-site PhDs* was approved by Senate in February 2007. In 2013/14, the framework and associated *Guidelines for Selecting an International Partner Institution for a Split-site PhD* were reviewed and a new [Procedures and Principles for Split-Site PhDs](#) document was approved, replacing both the earlier guidelines and framework. This document gives guidance on setting up split-site arrangements including the process for making agreements between the University of Southampton and a partner institution, and for ensuring that safeguards are included.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • Memorandum of Agreement (MoA) at institutional level • Joint Supervision Agreement (for each student)
Approval process:	<ul style="list-style-type: none"> • FPC (working with the International Office) • Collaborative Provision Sub-Committee of AQSC • Approval by AQSC
Information and documents:	Quality Handbook: <ul style="list-style-type: none"> • <i>Procedures and Principles for Split-Site PhDs</i> • <i>Collaborative Provision Policy</i>

2. The Joint PhD

The University is legally constituted to award a joint degree with another institution. It has therefore approved the principle that formal agreements may be made between the University and a partner institution for the purpose of awarding a Joint PhD. The University's [Regulations for the degree of Doctor of Philosophy awarded jointly with another Institution](#) can be found in Section V of the University Calendar. Partners may be within the UK, mainland Europe or they may be international. As the Joint PhD is a collaborative undertaking with another institution, a University-level Memorandum of Agreement (MoA) must be agreed and signed by both parties. Individual Joint Supervision Agreements are also required for each student on the programme. Students studying for a Joint PhD will have a supervisory team that includes at least one supervisor from each partner institution, with one award (and one certificate) jointly awarded by both institutions on successful completion of the examination. Each Joint PhD programme will have its own programme code. Periods of time to be spent at each partner institution will

be clearly specified in the MoA and/or the Joint Supervision Agreement for each student. A minimum of 12 months will be spent at Southampton.

Award given by:	University of Southampton and University of XXXX. Joint degree certificate design to be agreed by both parties
Agreement(s) needed:	<ul style="list-style-type: none"> • Memorandum of Agreement (MoA) at institutional level • Joint Supervision Agreement (for each student)
Approval process:	<ul style="list-style-type: none"> • Initial Proposal form - FPC • Due diligence documentation – Due Diligence Approval Panel • Collaboration Approval Panel • Collaborative Provision Sub-Committee of AQSC • Approval by AQSC
Information and documents:	Quality Handbook: <ul style="list-style-type: none"> • <i>Collaborative Provision Policy</i> Section V of the University Calendar: <ul style="list-style-type: none"> • <i>Regulations for the degree of Doctor of Philosophy awarded jointly with another Institution</i>

3. Dual PhD Approval Process

In June 2015 Senate approved the principle that the University could enter into a dual PhD arrangement subject to certain criteria. These are as follows.

- the partner institution does not have the legal capacity to enter into a joint PhD arrangement
- the partner institution’s reputational standing in the general area of the proposed collaboration must be at least equal to that of the University of Southampton
- the proposed arrangement must be in an area of disciplinary excellence at Southampton or build on a strong established research link
- arrangements must not be set up for individual students. An arrangement might involve a succession of students in the first instance as long as these are part of a larger cohort in both institutions.
- the arrangement must offer long term strategic benefits to the University. These include increased recruitment, income or funding; an enhanced global reputation or increased research links.

Dual PhD arrangements must be approved in line with the requirements of the University’s Collaborative Provision Policy.

It is proposed that the approval process for a dual PhD should mirror that for a joint PhD with the outcome being the primary difference.

Partners may be within the UK¹, mainland Europe or they may be international. As the Dual PhD is a collaborative undertaking with another institution, a University- level Memorandum of Agreement (MoA) must be agreed and signed by both parties.

Individual Doctoral Agreements are also required for each student on the programme.

Students studying for a Dual PhD will have a supervisory team that includes at least one supervisor from each partner institution and will result in two awards, one from each institution on successful completion of the examination. The Southampton degree certificate will refer to the existence of the second certificate and confirm that the period of study was concurrent. Ideally, the partner institution’s degree certificate should do the same.

Each Dual PhD programme will have its own programme code.

¹ This is probably unlikely and could be deleted.

Periods of time to be spent at each partner institution will be clearly specified in the MoA and/or the Individual Doctoral for each student.

A minimum of 12 months will be spent at Southampton.

Awards given by:	University of Southampton and University of XXXX. Two degree certificates are awarded but each should make mention of the other i.e that the arrangement is concurrent.
Agreement(s) needed:	Memorandum of Agreement (MoA) at institutional level Individual Doctoral Agreement (for each student)
Approval process:	Initial Proposal form, initial risk assessment form and business case approved by FEG Due diligence documentation – Due Diligence Approval Panel Site visit checklist Collaboration Approval Panel Collaborative Provision Sub-Committee of AQSC Approval by AQSC
Information and documents:	Quality Handbook: <i>Collaborative Provision Policy</i> Section V of the University Calendar:

4. The ‘PhD by Distance Learning (in a named academic subject)

In the academic year 2013/14, the University approved a [Framework for a ‘PhD by Distance Learning’](#). Unlike the Split-Site PhD or Joint PhD where formal agreements are signed between two educational institutions in a partnership, it should be noted that for a PhD by Distance Learning programme no formal agreement is signed with any institution, establishment or organisation. It is therefore the Faculty’s full responsibility to ensure that supervisory input to the student’s programme of research will be provided by the supervisory team in accordance with paragraphs 37 and 38 of the [Code of Practice for Research Candidature and Supervision](#). In some (but by no means all) cases there may be an additional local support contact who may be based at a student’s workplace but who is not a formal member of the supervisory team. Minimum residency requirements in Southampton covering the key milestones on the programme are specified in the University’s Framework.

Students on a PhD by Distance Learning programme will normally be part-time. If the Faculty wishes to recruit individual students who are not in employment related to their PhD, and who may be in a position to study on a PhD by Distance Learning in full-time mode, particular importance must be placed on ensuring there is an appropriate research environment and a remote infrastructure for delivery of the programme. Where a student is based in, and employed by an organisation, there may also be a requirement for a legal agreement between the University and the third party covering issues such as intellectual property and Faculties are advised to contact Research Innovation and Support for help on these matters.

Students accepted to study for a PhD by Distance Learning (in a specific academic subject) will be registered on a separate programme code so they can be easily distinguished from students on the standard MPhil/PhD programme. The PhD by Distance Learning is not merely a doctoral pathway or mode of study; it is sufficiently different in many practical aspects to warrant this separate identification.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • No formal agreement • ‘<i>Form for a PhD by Distance Learning - Evidence of Compliance with the University Framework</i>’ to be completed. This includes: • ‘<i>Individual Arrangements</i>’ document to be drawn up for each student on the programme (see <i>Evidence of Compliance</i> form)
Approval process:	<ul style="list-style-type: none"> • Sign off by Director of the Faculty Graduate School • FPC (AQSC approval required if any variations to the Framework)

	<ul style="list-style-type: none"> • Report to AQSC
Information and documents:	Quality Handbook: <ul style="list-style-type: none"> • <i>University Framework for a PhD by Distance Learning</i> • <i>Form for a PhD by Distance Learning - Evidence of Compliance with the University Framework</i>

5. Knowledge Transfer Partnerships

Other arrangements may include links with employers through particular schemes such as Knowledge Transfer Partnerships (KTP) which receive specific funding from the Technology Strategy Board and are set up with companies. Known as KTP Associates of the University, students are recruited as members of University staff, working on a fixed-term project based at a company partner within the UK. As part of the KTP package, Associates may have the opportunity to work towards a higher degree through developing a new product or process in conjunction with both the company and the University, using the latter's facilities and/or those of their company. KTP Associates may be registered part-time for a higher degree, and receive regular supervision from an academic supervisor at UoS as well as an industrial supervisor in their company, since the majority of their candidature period is spent within the company environment. As a University of Southampton degree is awarded through a KTP project, an Associate is covered by the University's [Regulations for Higher Degrees](#), and [Code of Practice for Research Candidature and Supervision](#). All University quality assurance policies and procedures therefore apply, with appropriate mechanisms set up with the partner company.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • Contact Research and Innovation Services (RIS) • Contact Insurance Officer to check insurance • 'Individual Arrangements' document to be drawn up for each student on the programme
Approval process:	<ul style="list-style-type: none"> • FPC and RIS
Information and documents:	Quality Handbook: <ul style="list-style-type: none"> • <i>Policy on Placement Learning and Study Abroad</i> Guidance to Faculties for Students Studying Away from the University

6. Professional/Taught Doctorates

Some doctorates with a major taught component (e.g. Doctorate of Clinical Psychology, and the Engineering Doctorate) also involve periods of study, or placements [Placement Study Abroad Policy](#) with an employer or institution. Some supervisory input is provided off-site, and in the case of the EngD, for example, the sponsoring company plays a major role in providing guidance and support for the student. These types of programme are covered by the [Regulations for Research Degrees with a Major Taught Component](#), and in addition have their own programme-specific regulations which provide more detail about the programme structure and requirements. The University's [Code of Practice for Research Candidature and Supervision](#) also applies, with the Faculty and/or programme leader ensuring that appropriate supervisory and progress monitoring arrangements are clearly set out and understood by all members of the supervisory team (including the external supervisor) and the student.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • 'Individual Arrangements' document to be drawn up for each student for the periods he/she is off-campus • Contact Insurance Officer to check insurance
Approval process:	<ul style="list-style-type: none"> • FPC – standard University Programme Validation Process
Information and documents:	<ul style="list-style-type: none"> • <i>Regulations for Research Degrees with a Major Taught Component</i>

	<p>Quality Handbook:</p> <ul style="list-style-type: none"> • <i>Approval of research degrees with a substantial taught element</i> (under PGR/Approval section) • <i>Programme Validation - new and existing programmes</i> • <i>Placement Study Abroad Policy</i> <p>Guidance to Faculties for Students Studying Away from the University</p>
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7. Arrangements for individual PhD students spending time in companies/organisations

Arrangements for some PhD students may include time spent conducting research at the site of an organisation or (industrial) company (this may also include an element of funding or sponsorship e.g. students in receipt of CASE funding). If the student is spending only the University minimum of 12 months (in total) based in Southampton, they must be able to receive face-to-face supervision and to benefit from the research environment during that period. All individual arrangements must be agreed at the outset between all concerned, including the student, and be set out in writing. Some supervisory input may be provided by the third party in accordance with paragraph 37 of the [Code of Practice for Research Candidature and Supervision](#). Faculties with students in these circumstances are responsible for ensuring that there is regular communication with the student and that regular progress monitoring continues to take place whilst the student is away from Southampton.

Any additional facilities needed by the student at the other site must be agreed at the outset as part of the written arrangements, as are arrangements for progress monitoring. Students are also expected to attend research and/or generic skills training courses and events at the University in order to fulfil their identified training needs. Paragraphs 53 and 54 of the [Code of Practice for Research Candidature and Supervision](#) regarding students based at a distance are relevant to the above types of arrangements and should be followed.

It should be noted that this type of arrangement is not a 'PhD by Distance Learning' programme (see paragraph 3. above) which is a separate, distinct programme in a specific academic subject.

However, such arrangements may require a legal agreement between the University and any third party covering issues such as intellectual property and Faculties are advised to contact Research Innovation and Support for help on these matters.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • No formal agreement <u>but</u> • Contact Research and Innovation Services (RIS) in case legal agreement needed for IP etc. • Contact Insurance Officer to check insurance • Carry out risk assessment to include health and safety issues • '<i>Individual Arrangements</i>' document to be drawn up for each student for the periods he/she is off-campus • Check if any specific/additional ethics clearance required
Approval process:	<ul style="list-style-type: none"> • FPC (for 'placement' element – see <i>Policy on Placements and Study Abroad</i>)
Information and documents:	<p>Quality Handbook:</p> <ul style="list-style-type: none"> • <i>Policy on Placements and Study Abroad</i> • Any additional external supervisors to the student's standard supervisory team must have University 'Visitor' status • When considering such arrangements for an overseas student, visa status must be clarified with the SAA Visa Compliance Team
Notes:	

8. Periods of research study at another HEI or fieldwork away from the University

Many MPhil/PhD students may need to carry out periods of research study at another HEI or fieldwork away from the University as an integral part of their research project. Students may/may not be attached to an organisation for the duration of any periods of fieldwork. The location of research study or fieldwork may be in the UK but is more usually abroad, and the length of time, and number of separate periods away, will vary according to the nature of the project. However, the supervisory focus and main support for the research project will always be in Southampton.

Such arrangements are made on an individual basis between the student, the supervisory team, and any external HEI (or organisation if applicable in the case of fieldwork) involved with a particular student. The main supervisor and other members of the supervisory team are expected to stay in regular contact with the student during the period(s) of research study/fieldwork that he/she is away. Access to particular facilities, as well as arrangements for progress monitoring, should be agreed by all parties (including the student), at the outset and in writing before the research study or fieldwork commences. Normally the student will have a temporary contact or mentor at any external HEI (or organisation if applicable) to help or advise on local practical matters relating to the student's research project, but this temporary contact is not a formal member of the supervisory team.

Students and supervisory teams should be mindful of their responsibilities as set out in paragraphs 40 and 48 of the [Code of Practice for Research Candidature and Supervision](#). Faculties should also ensure that arrangements made take account of paragraphs 53 and 54 regarding students based at a distance.

Award given by:	University of Southampton
Agreement(s) needed:	<ul style="list-style-type: none"> • No formal agreement <u>but</u> • Contact Research and Innovation Services (RIS) in case legal agreement needed for IP etc. • Contact Insurance Officer to check insurance • Carry out risk assessment to include health and safety issues • '<i>Individual Arrangements</i>' document to be drawn up for each student for the periods he/she is off-campus • Check if any specific/additional ethics clearance required
Approval process:	<ul style="list-style-type: none"> • FPC
Note:	<ul style="list-style-type: none"> • Any additional external supervisors to the student's standard supervisory team must have University 'Visitor' status • When considering such arrangements for an overseas student, visa status must be clarified with the SAA Visa Compliance Team

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