

University of South Wales

Prifysgol De Cymru

Code of Practice for Research Students

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<http://gro.southwales.ac.uk>

Preface

This code of practice provides a range of general guidance to assist you during your time as a research student at the University of South Wales. It outlines good practice and indicates the procedures involved (and your specific involvement in these procedures) in the various stages for students pursuing a research degree at the University.

The Code of Practice should be read in conjunction with the **University of South Wales Research Degree Regulations**.

Should you require any advice or clarification on any part of the procedures outlined in this code of practice, please contact:

Dr Elaine Huntley, Secretary of the Research Programmes Sub Committee, Graduate Research Office, The Lodge A021, telephone 01443 482881 or email: elaine.huntley@southwales.ac.uk

**UNIVERSITY OF SOUTH WALES
PRIFYSGOL DE CYMRU**

Code of Practice for Research Students

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1. Introduction

Research training is based within higher education institutions in order that the practical and intellectual skills needed by society are acquired by students within a community of committed academic and support staff.

Research students contribute to the research ethos of the University through supervised work which carries forward projects which advance knowledge and, in some cases, lead to commercial exploitation by taking intellectual property or products to market. An important measure of the value of any university is the success achieved by students in research and research related careers within industry, commerce, government or academia. Research degree work should be an enjoyable stimulating experience. The University works to ensure the best possible opportunities for all students.

Principal investigators will be pleased to advise on opportunities for research study and funding in their subject area.

2. The devolved model of Research Quality Assurance

All Faculties undertake the quality assurance of research degrees via a Faculty Research Programmes Committee (FRPC). The FRPC considers applications and undertakes the registration, transfer, extension/suspension and changes thereto of research students. The Research Programmes Sub Committee (RPSC) will discharge, on behalf of Research Committee and Quality Assurance Committee, the responsibilities for the quality and standards of its research programmes.

2.1 Research Programmes Sub Committee (RPSC) terms of reference are:

- ◆ To consider issues or concerns raised by research students
- ◆ To consider examination arrangements, including the approval of examiners
- ◆ To periodically review examiners' reports
- ◆ To consider the recommendations of examiners for the conferment of research awards
- ◆ To audit the process of annual monitoring of research degree students and FRPCs
- ◆ To consider ethical issues
- ◆ To identify and disseminate good practice in the delivery of research degrees.
- ◆ To make recommendations to the Research Committee, Quality Assurance Committee and Faculty Executive as appropriate
- ◆ To undertake such matters as required by the Research Committee.

2.2 Faculty Research Programmes Committee (FRPC)

Faculties are responsible for the quality assurance of research degrees and operate under the same quality assurance structure and in accordance with the University's approved quality assurance procedures, as agreed by Research Committee and Quality Assurance Committee.

The Faculty Research Programmes Committee (FRPC) terms of reference are:

- ◆ To consider issues or concerns raised by research students
- ◆ To consider the approval of research degree applications submitted to the faculty
- ◆ To note the registration of students for research degrees in the faculty and to transfer students from MPhil/PhD to PhD
- ◆ To monitor the progress of research students in the faculty
- ◆ To ensure that appropriate ethical approval is secured for each research degree

- ◆ To undertake any other task delegated to it by Research Programmes Sub Committee
- ◆ To report to the Research Programmes Sub Committee and Faculty Executive as appropriate.

The Faculty Research Programmes Committee (FRPC) will be chaired by a senior member of academic staff within the Faculty nominated by Dean of Faculty. The membership of the FRPC will comprise academics with experience of designing, delivering and assuring research degrees. The FRPC will be responsible and accountable for the delegated powers for the Faculty and will be expected to ensure that all quality assurance activities are carried out with the required level of independence. The Faculty Ethics Champion is a member of FRPC and advises the committee on ethical issues.

The FRPC will be required to conform to the University's Research Degree Regulations and will follow the practices and procedures set out in the Codes of Practice.

2.3 Review of a decision of the RPSC/FRPC

- (a) You can request a review of a decision of the RPSC/FRPC/Progress Board (e.g., not to register, approve examination arrangements, extend registration, etc) and you should submit this request in writing to the Chair of the RPSC/FRPC/Progress Board.
- (b) The Chair of the RPSC/FRPC/Progress Board will pass the details of your request to an appropriate adviser outside of the Committee (and possibly the University) who has not previously been involved with either yourself or the project but who will be familiar with research degree procedures. The adviser will be asked to provide a written report. On receipt of the report, the committee will review the case.
- (c) If you are dissatisfied with the outcome of the review carried out in (b) above, you should submit details of your review request in writing to the Chair of Quality Assurance Committee who will then follow the same procedure as in (b) above but with a different and independent adviser.
- (d) Following the outcome of the review in (c) above, and following the issue of a Completion of Procedures letter, if you are still dissatisfied you may lodge a complaint with the Office of the Independent Adjudicator (OIA). Details of the OIA and the relevant information in relation to the Scheme can be accessed at www.oiahe.org.uk. Further information and advice can be obtained from the University Secretary's Office.

3. Your role as a postgraduate researcher in the University

As a researcher in the University you will fall into one of three categories:

- **Research Assistant:** you are appointed as a member of staff on a fixed term contract. The salaries of some of these posts are paid for by the University but a significant number are funded by grants from external bodies. As a research assistant, you are appointed to assist the research work of the supervisor but are encouraged to register for and gain a higher degree. There is not normally expected to be a conflict between these two objectives, though this could happen particularly with externally funded projects.
- **Full time research students:** you will be undertaking research training and working for a higher degree, but in the process you may assist supervisors in developing their research interest. Normally, you will work within the area of the interest of the supervisors. It is hoped

that you will complete and write up your work within **one year for Masters by Research, two years for MPhil and three to four years for PhD.**

- **Part time research students:** as a part time research student, you may be working on a project connected with your work or on a project in an area of particular interest to you. It is, of course, recognised that you will take somewhat longer to complete than full time students normally **three years for MPhil and five years for PhD** or equivalent.

■ **Admission and Enrolment**

The responsibility for the admission of research students to the University rests with the Faculty Research Programmes Committee (FRPC). If the Faculty is able to provide the necessary support, guidance and expertise in your required research area, you will receive a letter of acceptance and will need to agree a mutual starting date with your Director of Studies.

You are required to enrol formally as a student immediately on commencement of study and pay the appropriate fees. This legitimises your research work within the University and covers you for insurance purposes.

You are required to enrol as a student even if you are employed by the University, either as a member of staff or as a research assistant. Enrolment for research degrees occurs at fixed time points during the academic year: October, January and April and re-enrolment occurs annually subject to satisfactory progress.

■ **Special Needs**

The University operates a policy for students with disabilities and other special needs. We are able to cater for a variety of special needs and we will be pleased to discuss your particular requirements. You will need to inform your proposed Director of Studies of any special requirements, and further information and assistance can be obtained from Student Support services in the University.

■ **Tuition Fees**

The University tuition fee is payable annually at the point of enrolment. If you are in receipt of sponsorship, the University will invoice your sponsor for the relevant amount. The payment of tuition fees will entitle you to supervision, use of library and all other University facilities.

Should you not complete your work and submit it for examination within the normal registration period you may be eligible to pay the 'writing up' fee. This is a significantly reduced amount and is normally used for the period of one calendar year only for those students who have effectively completed their research and are writing up their thesis. In order to be eligible for this, your Director of Studies must confirm in writing to the Graduate Research Office that you have completed data collection and are in the process of writing up your thesis for final submission. Should you not submit your thesis for examination within the writing-up period, the normal tuition fee rate will resume until such time as your thesis is submitted or your registration period expires.

Following final examination of your thesis, if you are required to resubmit your work and be re-examined, you will be required to pay a resubmission fee.

Should you withdraw from your research degree, you may apply for a refund of part of the annual tuition fee. The amount you receive will, however, be at the discretion of the Vice-Chancellor.

Details of the current rate of tuition fees for postgraduate research degrees are available from the Finance Department or the Graduate Research Office.

■ Programme of related studies

When you have enrolled you can discuss with your Director of Studies whether you will benefit from a programme of related studies. This generally means a short programme of study designed to equip you with special or additional skills which are related to your project, but not part of it, for example IT training in specialist software packages, additional honours or master's level modules in specialist topics, or research methodology training. The Graduate Research Office, working closely with our cadre of academic staff offers a number of generic skills training courses for research students and the University's Staff Development Unit within Human Resources Department (HR) delivers a calendar of events for PGR students and supervisors. Other courses or conferences may take place outside the University. Most students will find they require one or more of these types of training and your Director of Studies will advise you.

■ Teaching undertaken by Research Students/Assistants

Teaching opportunities may become available within the University and we encourage research students to undertake some teaching duties in view of the benefit which they will derive from it. It provides an opportunity for you to gain valuable experience for future careers in teaching or research, to apply and develop your research studies to the teaching situation, and as a means of supplementing your income. The **maximum** permitted for full time researchers is **6 hours per week**, including not more than 2 hours/week of classes which require preparation. Research students are paid for undertaking these duties but research assistants are required to do this as part of their normal duties. However, in some cases, the terms of external grants preclude research assistants from teaching.

Any teaching, marking and preparation time should be agreed in advance with your Head of Department and Director of Studies, as teaching should not be authorised if it is to the detriment of your PhD. Only those research students who have undertaken appropriate training will be eligible to be considered for any teaching opportunities that arise.

■ Your Director of Studies

Every student will have a Director of Studies who will be the principal supervisor; your Director of Studies will have administrative and pastoral responsibility for you and will be responsible for day to day guidance in relation to your research degree. In addition, you will have one or more additional supervisors (second supervisor(s)) who will provide support to your Director of Studies, and provide you with support in specialist areas and in your Director of Studies' absence. All supervisors will have relevant expertise and the team as a whole will have experience of supervising previous research students through to completion. Your Director of Studies will be responsible for ensuring that your needs as a research student are taken into account in the allocation of departmental resources and for ensuring that the various procedures are undertaken at the appropriate time.

Your Director of Studies will aim to strike a balance between providing direction and encouraging independence of thought so that you retain ownership of the project throughout. He/she will give advice on an appropriate structure for your thesis and will provide detailed comments and guidance. As you progress, your Director of Study's involvement will shift from direction to encouraging your responsible autonomy for the project.

Your **Director of Studies** will ensure:

- ◆ all necessary enrolment, monitoring and examination processes are dealt with;

- ◆ you undertake an appropriate programme of related studies (if necessary);
- ◆ any necessary facilities are provided by the appropriate department;
- ◆ that you receive any necessary guidance in following your research degree

It is also the responsibility of your **Director of Studies** to ensure:

- ◆ s/he provides adequate time for supervision and encouragement
- ◆ that you fully comprehend the complexity of the proposed task
- ◆ that you focus the work in the intended direction
- ◆ that you have access to primary research materials
- ◆ that you and the University are aware of any ethical, legal or political problems associated with the work; and
- ◆ that the final thesis is your own work

A supervisor's responsibilities **may** include the following:

- providing satisfactory guidance and advice
- being responsible for monitoring your progress
- establishing and maintaining regular contact with you and ensuring his/her accessibility when advice is needed by whatever means is most suitable given your location and mode of study
- having input into the assessment of your development needs
- providing timely, constructive and effective feedback on your work, including overall progress within the programme
- ensuring that you are aware of the need to exercise probity and conduct your research according to ethical principles and be aware of the implications of research misconduct
- ensuring that you are aware of institutional-level sources of advice, including ethics, careers guidance, health and safety legislation and equal opportunities policy;
- providing effective pastoral support and/or referring you to other sources of such support, including student advisers, Faculty staff and others within the student's academic community;
- helping you to interact with others working in the field of research, for example, encouraging you to attend relevant conferences, supporting you in seeking funding for such events; and where appropriate to submit conference papers and articles to refereed journals;
- keeping up to date with the appropriate skills and knowledge required to perform the supervisory role satisfactorily.

Supervisors need to be sensitive to the diverse needs of individual students, including international students and the associated support that may be required in different circumstances.

Guidance should be given on the **minimum** frequency of contact advisable between students and supervisors.

■ **Contact Between Student and Supervision Team**

You will be expected to maintain regular and frequent contact with your Director of Studies. It is recommended that meetings be timetabled (although this should not limit the opportunity for contact if you require help on a particular issue). The frequency of meetings will vary according to the

subject matter, the stage and complexity of the project, and your individual needs. It is good practice to maintain a written record of your supervisory meetings which should be agreed by your supervisor after the meeting (an example template for this can be found in Appendix IV).

In the early stages it is recognised that you may require more intensive support, and at this stage we require that the Director of Studies and yourself develop a clear plan of work, including a realistic estimate of the content and scope of the project and the time it will take. The plan of work will need to be reviewed regularly as the work progresses, but will form the basis of the critical path of the project. The written framework should include the aims and objectives of the project, the proposed methodology together with bibliographical support or other evidence relating to previous work on the topic.

■ Getting started

The University places considerable emphasis on the need to ensure that research degrees are well planned from the outset and that students receive regular, high quality supervision.

The topic, aims, design and conduct of your research should be discussed with your supervisory team. You will need to establish clearly your plan of work in terms of progression expectations and timescale for completion. You will need to define a precise title. The aims are important as you may find later in your research that you have to keep going back to the aims to remind yourself of what you started out to do.

You may find it useful, at the early stage, to talk to people who are experienced in your field of research (not only to your supervisors) and ask them to criticise your plan of work and your timescale for completion.

■ Timetable of the Project

Time is the factor which often appears to be the student's worst enemy. You should bear in mind the need to focus clearly on the objectives of the research. It is important to be aware that the start of a project is nearly always much slower than expected, and although contextual knowledge is important, spending too long on background material, the literature survey, or complex data analysis using computing techniques (unless this is in itself the objective of the research) can result eventually in non-completion.

The most important task is to set yourself a timetable of work each week showing the number of hours which you intend to devote to your research study. For a **part time** degree at least **twelve hours a week** should be set aside for study whereas **full time** research students would be expected to spend at least **thirty five hours a week** on their research. Full-time research students are entitled to up to eight weeks annual leave (which includes periods when the University is officially closed) and this must be agreed with their Director of Study.

You will have the help of your supervisors at regular meetings, but it is your responsibility to press your supervisors for help. They may not always appreciate that help is needed; however you have a right to see them and they are expected to make time to see you. Regular assessment of your progress is desirable; you should:

- ensure that data collection is appropriate and systematic
- maintain records of work completed
- ensure that the plan of work is kept under review

Equally at the final stage of a research degree, the presentation of the thesis invariably takes longer than you may anticipate and you should aim to prepare draft chapters at an early stage, even if these subsequently need revision. The opportunity to consult standard references can be invaluable.

■ **Research student's responsibilities**

Students should be aware of their responsibilities at the beginning of their research degree. These will normally include:

- taking responsibility for your own personal and professional development
- maintaining regular contact with supervisors
- preparing adequately for meetings with supervisors
- setting and keeping to timetables and deadlines, including planning and submitting work as and when required and generally maintaining satisfactory progress with the programme of research
- making supervisors aware of any specific needs or circumstances likely to affect your work
- attending any development opportunities (research-related and other) that have been identified when agreeing your development needs with your supervisors
- being familiar with institutional regulations and policies that affect you, including the regulations for your qualification, health and safety, intellectual property and ethical research guidelines
- adopting models of good academic practice, and you should make sure that you discuss this with your supervisor if you are in any doubt about what it means. The University takes issues of academic misconduct very seriously, and your supervisor may take any steps s/he thinks are necessary (including plagiarism detection) at any stage to determine if academic standards are being upheld

A central **induction programme** will be delivered by the University and individual Faculty's may also organise their own inductions. These may include:

- general information about the University and its postgraduate portfolio
- the institution's registration, enrolment, appeals and complaints procedures
- assessment requirements and research degree regulations
- the names and contact details of the student's supervisor(s) and information about how supervisory arrangements work
- the University's research ethics and codes and those of relevant professional bodies and discipline groups, including consideration of issues concerning authorship and intellectual property
- the University's expectations of the independence and responsibilities of the student
- student support and welfare services such as counselling and advice centres
- a summary of the facilities that will be made available to the student, including the learning support infrastructure
- relevant health and safety and other legislative information
- a brief outline of the proposed research degree, together with the normal length of study and the facilities that will be made available to the student;
- reference to the challenges that will typically face research students during the course of their studies and where guidance may be sought in the event of difficulties
- any opportunity for the student representative body to introduce themselves, including specific postgraduate representation; social activity, including that provided specifically for postgraduates
- opportunities for postgraduates to be represented by the student body
- details about opportunities and requirements for skills development

■ Documentation involved in research degree work

It is important to produce documents associated with research degree work to a high standard. The quality of documentation has to measure up to standards set by the wider research community. There are different traditions within different subjects and it is unrealistic to expect total consistency. It is better to aim for the highest quality using selected examples within the records of the department and University as a guide, your Director of Studies will assist you in accessing these. Often the key to a good document is clear, simple diagrams and tables which are rethought and redrafted many times to illustrate the essence of the arguments. When this is achieved the text falls neatly into place. These documents should evolve continuously over the period of the project.

You should aim to present part of the work in journals and at meetings. If the project is sound, diligent work by you (supported by your supervisor) in the early stages should ensure success. You should progressively play more of a lead role in your research, e.g., presentation of papers at meetings and possibly first or sole authorship of a publication, if your supervisor feels you have reached this stage. There is a great benefit in exposing early work in a project to expert criticism (at as high a level as possible) as early as possible as it can help shape and develop your research.

4. Admission, Registration and Enrolment

The Faculty Research Programmes Committee (FRPC) is responsible for **considering and approving** research degree applications which must be accompanied by a research proposal. The FRPC will consider the application against criteria and will ensure that the Faculty is able to provide suitable research supervision. If the application is successful, the FRPC will note the registration and ensure ethical issues have been considered and approved where required. Acceptance of a research student implies that the resources required to undertake the research are available either within the Faculty or from other sources.

■ Completing the registration form

You should make sure that you consult the University's Research Degree Regulations before completing the registration form.

There are various routes available to you:

- **Masters by Research (by thesis), MPhil (by thesis or portfolio), MPhil with possibility of transfer to PhD (by thesis), PhD direct (by thesis, portfolio or publication), and Professional Doctorate.**

Use registration form **R1**.

The thesis route is traditional route for students following a research degree. You will complete an approved research project leading to the submission of a thesis.

The MPhil and PhD by portfolio route may be used where students have largely completed the work prior to registering (say, as a result of work-based projects). Students will submit for examination an approved portfolio of material relating to a maximum of three projects accompanied by a critical overview which demonstrates the originality of the contribution to the field. The projects may be work related and derived from empirical or conceptual investigation. The critical overview must also demonstrate the relationship between the

projects, and the submission should demonstrate an independent and original contribution to knowledge at least equivalent to that normally demonstrated by the submission of a traditional thesis.

The PhD by publication requires students to submit for examination an approved body of published work, accompanied by a critical overview. The submission should demonstrate the originality of the contribution to the field and significant authorship by the student. Registration for submission by this route is appropriate for students who have already completed, or reached an advanced stage of submission of, the published work.

■ What constitutes a ‘published work’?

A work will be regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and copies are available to the general public. Work that is ‘in press’ cannot be submitted, neither can proofs of works not yet accepted for publication. Reports to Government Departments, local or industrial organisations and the like cannot be submitted, unless they have been published and are freely available.

■ Applications from students proposing to work outside the UK

Applications from students proposing to work outside the UK may be considered provided the following conditions are fulfilled:

- (i) there is satisfactory evidence as to the facilities available for the research abroad;
- (ii) the arrangement proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s), including adequate face-to-face contact with the supervisor(s).

■ Consideration by the Faculty Research Programmes Committee (FRPC)

When your application and proposal has been considered by FRPC you will receive a formal letter notifying you of the decision. You are welcome to contact the Secretary of FRPC meeting to find out at any time to seek advice on, or explanations of FRPC decisions

5. Progression and Transfer of Registration

■ Progress of Research Students

Your progress towards successful completion within approved time periods will be reviewed regularly.

Your Director of Studies, acting on behalf of your supervisory team, will complete an annual statement of progress (annual monitoring form). They will grade your progress as follows:

- A Excellent progress with no problems and completion anticipated on time
- B Satisfactory progress, some issues exist, but completion anticipated on time
- C Some progress being made, but there is a serious question as to whether the thesis will be completed satisfactorily on time
- D Progress unsatisfactory

Students complete a separate annual monitoring form.

■ Progress Boards

Each Faculty will hold a Progress Board, chaired by the Chair of the FRPC and consisting of: Heads of Departments or nominees and selected members of the FRPC. The Board will review each student's progress, using the annual statement of progress and other material as is available, e.g. transfer reports, records of meetings if available.

The Progress Board will make one of the following recommendations:

1. Recommend a further period of enrolment
2. Remedial work be completed within a specified timeframe
3. Termination of enrolment

It is expected that Boards will meet as required, but will meet at least twice per year, once to conduct an annual review of progress and then to consider any outstanding issues, or to follow up any relevant matters.

■ Applying to Transfer Use registration form **R6**

Students registered on the MPhil/PhD may wish to transfer to PhD. Students should apply to the FRPC to approve transfer as soon as they have made sufficient progress on the project. In the case of transfer to PhD, students will have to provide evidence of the work that has been done so far, what needs to be done and the potential for original contribution to knowledge. The Committee will normally expect this to be within 9-15 months of enrolment for full-time study and within 18-24 months of enrolment for part-time study. Students registered for MPhil only may apply to transfer to PhD if sufficient progress has been made to provide evidence of the potential original contribution. An oral assessment will be used by the Faculty Research Programmes Committee as part of the assessment of the case for transfer to PhD.

■ Transfer Report

In support of your application to transfer, you will prepare a full progress report on the work undertaken for submission to the FRPC, along with form R6 and the name of three specialists (to be provided by your Director of Studies).

Your progress report should normally be 3,000 to 6,000 words in length i.e. about 15 pages maximum plus diagrams. You should aim for no more than a total of 6000 good words! Your report should include a brief review and discussion of the work already undertaken, and a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge. Full details can be found in the University's Research Degree Regulations.

The readers of your transfer report will be trying to satisfy themselves that you are making good progress towards your Ph.D. Remember that a doctorate degree is, '*awarded to a candidate who has demonstrated 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. The candidate shall demonstrate a detailed understanding of appropriate research methods and their application to the chosen field, and present and defend a thesis of an appropriate literary standard (or alternative form of submission where appropriate), by oral*

examination to the satisfaction of examiners'. The words in bold type are the difference between an MPhil and a PhD.

Whilst there is no one correct way to write a transfer report the objectives must be borne in mind, and the following suggested layout may be of some help.

Summary This should contain a clear and concise statement of the problem being investigated, an explanation of the research methods being used, a brief but specific summary of the essential results obtained so far and what you will be considering in the future. The length should be about 500 words.

Introduction This should lead the reader from what they might already be expected to know towards your particular subject. Make quite clear what your project is about. Be brief.

Section 1 Critically review existing relevant literature; show what is lacking with the present state of knowledge. (I.e. that is demonstrate how your work critically investigates the topic)

Section 2 Introduce your project and show how it should help to meet the deficiencies of other work. (i.e. that is demonstrate how you evaluate your approved topic)

Section 3 Show what has been done so far on your project. Be concrete and factual. i.e. demonstrate your independent contribution to knowledge and understanding of research methods appropriate to the chosen field.

Section 4 This must explain what you intend to do in the remaining time. It is here that the distinction between MPhil and PhD must be demonstrated. A PhD must involve original work and this section must show how it will. (i.e. your continuing understanding of research methods appropriate to the chosen field), and especially how your work will be original.

Section 5 Conclusions - be concise, preferably list them.

References One might reasonably expect for a 6000 word report about 30 key references. Only quote relevant references, be selective. Information on how to reference can be found at the Library <http://studentlibrary.southwales.ac.uk/referencing/> It is generally expected that Harvard Referencing style would be used throughout the research.

If in doubt always ask for advice from your Director of Studies and supervisor(s); candidates that have already had their transfer reports approved may be happy to show you what they have done. Remember to get your report to the Secretary of FRPC well before the deadline so that the referee does not feel pressurised, you want them on your side! Pay attention to the final presentation of the report it must be spell-checked and proof-read and should look 'professional'

■ Consideration by the Faculty Research Programmes Committee

Your progress report, form R6 and the names of the three specialists should be submitted to the Secretary of FRPC at least four weeks before the meeting at which it is to be considered. A member of the FRPC with expertise in the area of the research project will be asked to comment on the proposed transfer, and to nominate one of the specialists to consider the transfer. The FRPC member may, however, consider it more appropriate to seek the opinion of an alternative specialist. The Committee will seek guidance from the specialist's report. You will be notified of the Committee's decision regarding your transfer by the Secretary of FRPC.

- The FRPC will use an oral assessment (transfer viva) as part of the assessment of the case for transfer to PhD. The transfer viva whenever possible will be conducted by the independent specialist and observed by your Director of Studies. The independent specialist cannot then be appointed as an internal or external examiner at a later stage for the final examination.

6. Changes in registration

Use registration **Form R5**. You should ensure, in consultation with your Director of Studies, that the Secretary of FRPC is notified of any changes in your approved registration arrangements where applicable, on the appropriate form R5.

- **Change in Approved Programme**

If your project undergoes a material change, for example, if the expected collaborating establishment proves unable to provide data, perhaps ethical approval from a health body is not forthcoming and so on, and then the project clearly needs a major revision. It is this type of change that needs approval by the Committee. Other smaller matters do not need approval, for example, early results or the discovery of new sources may necessitate a change of focus, and such changes are probably to be expected.

- **Change in Mode of Study**

Any change in your mode of study, i.e. **full or part time**, should be notified to the Secretary of FRPC in writing.

- **Extension of the Registration Period**

An application for the extension of your registration must be submitted to the Secretary of FRPC (Form **R5**). An application to extend your registration (see reg. 5.10) must be submitted before your registration expires. A request to reduce your minimum registration period will need to be submitted, in writing, at the same time as approval of examination arrangements.

- **Suspension of the Registration Period**

A suspension of study will normally only be approved if you are prevented by ill health, or other cause, from making progress with your research. In such cases a suspension may be approved normally for a single period of up to 12 months. Form **R5** should be completed and forwarded to the Secretary of FRPC; when you resume your registration you will need to notify the Secretary of FRPC in writing. If you require more than 4 weeks away from your research then it is advisable to suspend.

- **Withdrawal of Registration**

You will need to notify the Secretary of FRPC by completing form **R5** if you decide to withdraw from your research degree at any stage.

7. Examinations

■ Approval of Examination Arrangements

Form R7

Examination arrangements must be **approved by the University's Research Programmes Sub Committee**. In order for there to be sufficient time to resolve any queries raised by the RPSC and, following approval, for the arrangements for the examination itself to be made, it is expected that the application for approval of examination arrangements will be submitted to the Secretary of RPSC at least **four months** ahead of the expected date of submission of the thesis.

Your **Director of Studies** is responsible for submitting the application for approval of examiners.

Although it is the responsibility of your Director of Studies and your supervision team to propose the examiners, it is expected that you will have been consulted and your views noted.

Your Director of Studies should ensure that there has not been significant contact between yourself and your proposed examiners, for example, working within the same organisation. It is appreciated that in some highly specialist areas the external examiner and yourself may have had some contact, for instance, given papers at the same conference. This does not preclude their appointment as an external examiner as long as they are sufficiently independent. If there is any more significant contact or involvement between yourself and the proposed examiner, you will have to report this to your Director of Studies and it must be declared on the appointment of examiners form.

Following approval of your examination arrangements your Director of Studies will notify you of the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for examination) and any conditions to be satisfied before you may be considered eligible for examination. S/he will also liaise with you and the examiners to arrange the time and place of the examination.

You must take no part in the arrangements for your examination and must have no contact with the external examiner(s) between the time they are appointed and the date of your examination, or discuss your thesis/project/examination with the internal examiner(s).

It is, however, unreasonable to expect that you will avoid meeting someone appointed as an internal examiner (particularly if you are a full time student), but it is envisaged that both students and internal examiners will use their discretion as to what is an appropriate topic for discussion.

■ Submission of the Thesis/Portfolio/Publications:

(see Appendix II for details of the submission)

Students are encouraged to seek the views of all their supervisors prior to submitting their thesis. Your Director of Studies should **'sign off'** your thesis to indicate his/her approval (Form **R10**) for submission to your examiners. This can be done by either including a formal statement (**R11 Certificate of Research ***) bound in your thesis, or by attaching the appropriate form (available from the Graduate Research Office). The Research Programmes Sub Committee would not recommend that you submit against the advice of your supervisors. You do, nonetheless, have the right to submit at any time within your registration period, with or without the support of your supervisors. However, this is not considered advisable and you are encouraged to discuss and agree with your supervisors when the time is right to submit.

When the submission is ready for examination, you must submit to the Secretary of RPSC sufficient bound copies for all the examiners involved along with the declaration on Form Decl. It is recommended that your theses submitted for examination are bound in ‘**perfect binding**’, not in the more formal, rigid binding required for completed, examined theses; **theses that are ring bound will not be acceptable**. You should also submit one electronic copy of your thesis on a CD-Rom. Full instructions on the requirements for your submission are to be found in the **University’s Research Degree Regulations**.

***Certificate of Research:** this is to certify that, except where specific reference is made, the work described in this thesis is the result of the candidate. Neither this thesis, nor any part of it, has been presented, or is currently submitted, in candidature for any degree at any other University (This should be signed by your DoS, yourself and dated).

■ The examination

Normally you will have an oral (viva voce) examination with the examiners, which will cover both the thesis content and the field of study in which the programme of work was undertaken. Where for reasons of sickness, disability or comparable valid cause the Research Programmes Sub Committee is satisfied that you would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that your knowledge of the language in which the thesis is presented is inadequate.

■ Preparing for the examination

The oral examination is the culmination of your research studies and you must pass it to be awarded a research degree. You need to prepare carefully, but not frantically. You should re-read your thesis, in particular noting any minor errors or typographical errors which have occurred. It is better to be able to say that you have done this when confronted by a list by the examiners. You should be prepared to defend the thesis in detail, and in relation to the wider debates on which it bears.

You may find it useful to have a mock viva, either organised by a sympathetic colleague who has been through the process, or your supervisor. You need to be able to show that you are fully in command of the arguments of the thesis. But remember, you are likely to be the ‘world’s expert’ on your subject, and as long as you are sure of your arguments, and can defend them fully, there should be no problems.

■ Conduct of the examination

Most research students will have two examiners - one internal and one external. A research student who is also a member of staff will have at least two external examiners and usually one internal. Neither your Director of Studies nor your supervisor can be your examiner. One or both may, with your consent, be present at your viva but will not contribute to any discussion unless asked to by the examiners, and must withdraw before the examiners deliberate on the outcome. It may be helpful to have a supervisor in the room to take notes for example but it is entirely your decision.

An independent Chair will be appointed for the examination. The Chair will be independent of your programme of study and will have a clear understanding of the University’s regulations and procedures. The Chair will not make any contributions to the academic examination or evaluation of the thesis.

Examinations vary but the aim of the viva is to provide you with an opportunity to defend your work. The ideal atmosphere is one that is fair and supportive but also intellectually rigorous. Examiners need to establish that your work meets the requirements for the award

The length of the viva can vary and it may take several hours. Again, this is not necessarily a sign of anything. It may be that the examiners want to tease out a particular problem or simply that they are particularly interested in the discussion.

At the end, you will be asked to leave the room while the examiners confer. They will then inform you of their decision, and if any amendments to your thesis are required, they will in due course provide you with a written list if required. Please remember that the examiners are, at this stage, making a recommendation of an award. Your degree is confirmed as quickly as possible afterwards following formal approval by the University.

The examiners may recommend that:

- (1) the candidate be awarded the degree;
- (2) the candidate be awarded the degree subject to amendments* and corrections being made to the submission to the satisfaction of the internal and/or external examiner(s);

**Please note that minor amendments e.g. corrections, grammatical or typographical errors are normally completed within 28 days and other amendments within a time period specified by examiners up to a maximum of 6 months*

- (3) the candidate be permitted to re-submit for the degree and be re-examined, with or without an oral examination;
- (4) the candidate be not awarded the degree and be not permitted to be re-examined;
- (5) the candidate be offered a lower award subject to the presentation of the submission amended to the satisfaction of the examiners.
- (6) the candidate be permitted to re-submit for a lower award and be re-examined, with or without an oral examination.

Where examiners recommend that the degree be not awarded and no re-examination be permitted, or for candidates recommended to resubmit within twelve months, the examiners will be asked to prepare an agreed statement of the deficiencies of the thesis and the reason for their decision which will be passed to candidates.

■ Appeals Against Examination Decisions

A candidate may, in the circumstances outlined in **Section 15** of the **University's Research Degree Regulations**, request a review of an examination decision, whether at the first examination or re-examination.

8. Managing conflicts in the student-supervisor relationship

Following good practice in research degree supervision is vital in order to minimise potential conflicts between student and supervisor. It is important for yourself and your supervisory team to be aware of expectations and roles from the outset and to always keep communication channels open. You should alert your supervisors to any potential problems as they arise. Your supervisors invest a great deal of time and effort in your project too and the University would expect that every effort is made to resolve difficulties within teams wherever possible. If you feel you cannot discuss the problem with your Director of Studies, you should talk to another member of your supervisory team. They may be unaware of the extent of any issues and may be able to mediate. If this does not resolve the situation, it may be possible to swap roles within the team, if this can alleviate any tensions without compromising the quality of supervision.

If a problem persists and cannot be resolved at student-supervisor level, you should approach the Chair of the Faculty Research Programmes Committee who will endeavour to mediate the situation in order that a successful resolution can be reached. In cases where the conflict between student and supervisor is irreconcilable, the Chair of the Faculty Research Programmes Committee will be responsible for identifying and allocating a new supervisor and / or supervisory team with appropriate subject expertise and supervisory experience. This should be in consultation with the existing supervisory team. In exceptional circumstances, it may not be possible or appropriate to appoint a new supervisor with the relevant expertise and there may not be a successful outcome. In such situations, students should be informed of this as soon as is reasonably possible.

9. Complaints procedure

You may raise a complaint informally with your Director of Studies, Dean of Faculty, or with the Chair or Secretary of RPSC/FRPC. In most cases it should be possible to resolve the issue amicably in this way without recourse to the formal complaints procedure. Where your complaint is so serious that it makes it inappropriate to deal with informally or where the informal procedure has not proved satisfactory, you may make a formal complaint.

For information regarding the formal complaints procedure please refer to <http://uso.southwales.ac.uk/StudentCasework/SCP/>

Please note: Any student complaint must be lodged before the final thesis examination and cannot constitute grounds for appeal against the outcome of an examination.

The Student Complaints Procedure does not cover the following, for which separate procedures exist: Complaints involving an allegation of misconduct by a student, an allegation of harassment by a student or member of staff, an allegation of misconduct by a member of staff.

10. Intellectual Property Rights: Regulations for Students

The University takes the management of Intellectual Property (IP) seriously, and wants to encourage creation of IP. Generally, IP rights are rights granted to creators and owners of works that are the result of their intellectual creativity. They are given some protection by the law, namely to ensure that the creator or owner can control the use and exploitation of their work. Some IP rights (namely patents and trademarks) require registration to gain protection, whilst others (particularly copyright) require **no** formal registration process and protection arises automatically. The primary piece of legislation in the UK is the Copyright, Designs and Patents Act 1988 (as subsequently amended).

The University's Student Intellectual Property Rights Policy aims to protect both your interests and the interests of the University and is to be interpreted in a spirit of reasonableness. Its purpose is to clarify ownership of IP rights, their exploitation and possible revenue sharing.

In the majority of cases you will own the rights in the IP you create as part of your graduate thesis. In some circumstances, the University will request a licence or an assignment of IP rights from you depending on the nature of support, staff collaboration and/or funding provided you receive. If you are employed as a member of staff of the University you will be covered by the student IPR Policy for IP you create as a student, and by your Contract of Employment and the University's employee policies for IP you create as part of your employee duties.

The University's Commercial Services Office ("CSO") manages the protection and commercialisation of University owned IP on a day-to-day basis.

Full details of the University's Student Intellectual Property Rights Policy can be found at <http://profile.glam.ac.uk/documents/download/97/>

11. Data Protection Issues for Researchers

Notification

Any researcher who wishes to process personal data as part of their research must check that their work is covered under the Data Protection Act 1998 prior to any processing being carried out. The researcher must check the University's public register, see <http://ico.org.uk/ESDWebPages/DoSearch?reg=248077>

If the register does not cover the proposed research, then researchers must complete a census form obtainable from Rhys Davies, University Secretary's Office before research begins. Completed forms should be returned to Rhys Davies who is the University's Information Compliance Officer.

NB This applies to data held in any form, including paper, tapes, video, CCTV, and microfiche as well as data held on computer systems.

Essentially, the information you will be asked to provide in the census is as follows:

- The purpose of processing personal data
- Types of data subject
- Description of Personal Data to be held
- Conditions for meeting the requirements of schedule 2 and schedule 3
- Sources of personal data
- Details on who will have access to the data and to whom the data will be disclosed

Compliance with the Eight Principles

In addition to the above, researchers are asked to submit details on how their project will ensure compliance with the eight principles:

1. Personal data shall be processed fairly and lawfully.
2. Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes

3. Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.
4. Personal data shall be accurate and, where necessary, kept up to date.
5. Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.
6. Personal data shall be processed in accordance with the rights of data subjects under this Act.
7. Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.
8. Personal data shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

Reference for the Data Protection Principles:

<http://www.legislation.gov.uk/ukpga/1998/29/contents>

If you require further information or have any questions then please contact: The Information Compliance Officer, University of South Wales, Pontypridd, CF37 1DL

Email: dataprotection@southwales.ac.uk

12. Ethical Principles and Guidelines for Research

The University has set up a two tier structure for ethical issues with responsibility shared between the University Ethics Sub Group (UESG) - a committee of Quality Assurance Committee - and the Faculty Research Programmes Committee (FRPC) which will consider all research proposals.

General Ethical Concerns

Ethics is a complex subject, but in professional contexts its four central concerns are:

- to treat people **F**airly
- to respect the **A**utonomy of individuals
- to act with **I**ntegrity
- to seek the best **R**esults - by avoiding or minimising harm and by using resources as beneficially as possible

Mnemonic: **f a i r**

Appendix I

Recommended Reading

Estelle M Phillips and D S Pugh, *How to get a PhD* (Open University Press)

Penny Tinkler and Carolyn Jackson *The Doctoral Examination Process* (Open University Press)

Rowenna Murray, *How to write a thesis* (Open University Press)

Rowenna Murray, *How to survive your Viva* (Open University Press)

Diana Leonard, *A Woman's Guide to Doctoral Studies*, (Open University Press)

David Scott, Andrew Brown, Ingrid Lunt, Lucy Thorne *Professional Doctorates*, (Open University Press)

University of South Wales, Research Degree Regulations.

EPSRC and ESRC, Post Graduate Research : A Guide to Good Practice in Engineering and Physical Sciences

The Quality Assurance Agency for Higher Education (QAA), *UK Quality Code for Higher Education Part B: Assuring and Enhancing Academic Quality. Chapter B11: Research Degree*, June 2012
<http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/Quality-Code-Chapter-B11.pdf>

Appendix II

The submission

- Except with the specific permission of the Research Programmes Sub Committee the submission shall be presented in English or Welsh (see paragraph 4.5). Where a submission is presented in Welsh, a summary in English of 1,000 words shall be included in the submission.
- There shall be an abstract of approximately 300 words bound into the submission which shall provide a synopsis of the submission stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. Three loose copies of the abstract shall be included with the submission. The loose copies of the abstract shall have the name of the author, the award for which the work is submitted, and the title of the submission as a heading.
- The submission shall include a statement of the candidate's research objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.
- Where a candidate's research programme is part of a collaborative group project, the submission shall indicate clearly the candidate's individual contribution and the extent of the collaboration.
- The candidate shall be free to publish material in advance of the submission but reference shall be made in the submission to any such work. Copies of published material should either be bound in with the submission or placed in an adequately secured pocket at the end.
- The text of the thesis submitted for Masters by Research, MPhil and PhD (by thesis or integrated programme) should normally not exceed the following length (excluding ancillary data):

Award	Maximum Submitted Text Length (Word Count)
	All subjects*
PhD / DBA	80,000
MPhil	40,000
Masters by Research	25,000

- Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the thesis should normally be:

Ph.D	40,000 words
MPhil	20000 words
Masters by Research	15,000 words

Submissions for the Award of MPhil or PhD by Portfolio and PhD by Publication

- Materials submitted for the award of MPhil or PhD by portfolio or PhD by publication shall be in a form approved by the Research Programmes Committee at the time of the original registration. Normally these should demonstrate equivalence with the guidelines on word-length above.
- The publications or portfolio of research outputs or projects must be accompanied by a critical overview of normally up to 15,000 words for PhD and 10,000 words for MPhil.
- Following the award of the degree (except Masters by Research and Research Diploma) the candidate will supply the Secretary of the Research Programmes Sub Committee all necessary hard

bound copies of the thesis plus an additional copy of the thesis in an electronic format to the Graduate Research Office and the copies will then be lodged in:

- the University library;
- the National Library of Wales;
- the University's Research Repository

- Where the Research Programmes Sub Committee has agreed that the confidential nature of the candidate's work is such as to preclude the submission being made freely available in the library of the University, the National Library of Wales, Collaborating Establishment (if any) and, in the case of a PhD, the British Library, the submission shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period (see paragraph 4.9), shall only be made available to those who were directly involved in the project.

The Research Programmes Sub Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A submission shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances the Research Programmes Sub Committee may approve a longer period. Where a shorter period would be adequate the Research Programmes Sub Committee shall not automatically grant confidentiality for two years.

- the copies of the submission presented for examination shall remain the property of the University but the copyright in the submission shall be vested in the candidate.
- theses shall normally be in A4 format. The Research Programmes Sub Committee may give permission for a submission to be presented in another format where it is satisfied that the contents of the submission can be better expressed in that format. A candidate using a format larger than A4 should note that the production of microfiche copies and full-size enlargements may not be feasible;
- copies of the thesis shall be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x)
- the thesis shall be printed on the recto side of the page only; the paper shall be white and within the range 70 g/m² to 100 g/m²;
- the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
- pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;

the title page shall give the following information: (See bottom of page)

- the full title of the submission;
- the full name of the author
- that the award is conferred by the University of South Wales/Prifysgol De Cymru
- the award for which the submission is presented in partial fulfilment of its requirements;

- the Collaborating Establishment(s), if any; and
 - the month and year of submission.
- The University library copy shall be bound as follows:
 - the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright; and
 - in at least 24pt type the outside front board shall bear the title of the submission, the name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the submission) shall be shown on the spine of the work, reading downwards.

Submissions for the Award of MPhil or PhD by Portfolio and PhD by Publication

Materials submitted for the award of MPhil or PhD by portfolio or PhD by publication shall be in a form approved by the Research Programmes Sub Committee at the time of the original registration. Normally these should demonstrate equivalence with the guidelines on word-length above.

The critical overview submitted with materials for PhD by portfolio and PhD by publication should not normally exceed 15,000 words and for an MPhil by Portfolio should not normally exceed 10,000 words.

Following the award of the degree (*except for Masters by Research and Research Diploma*) the candidate will supply two hard bound copies of the thesis or submission and one copy of the thesis on CD-ROM. The Secretary of the Research Programmes Sub Committee shall then lodge one hardbound copy of the submission in the National Library of Wales and the Library of the University, the CD-ROM will be deposited in the University's Research Repository (the electronic copy of the thesis must be identical to the final version of the printed copy and submitted as one file on the CD-ROM).

Where the Research Programmes Sub Committee has agreed that the confidential nature of the candidate's work is such as to preclude the submission being made freely available in the library of the University, the National Library of Wales, Collaborating Establishment (if any) and, in the case of a PhD, the British Library, the submission shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period shall only be made available to those who were directly involved in the project.

The Research Programmes Sub Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A submission shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances the Research Programmes Sub Committee may approve a longer period. Where a shorter period would be adequate the Research Programmes Sub Committee shall not automatically grant confidentiality for two years.

The copies of the submission presented for examination shall remain the property of the University but the copyright in the submission shall be vested in the candidate.

The following requirements shall be adhered to in the format of the thesis element of the submission and a candidate may follow either.

- a) theses shall normally be in A4 format. The Research Programmes Sub Committee may give permission for a submission to be presented in another format where it is satisfied that the contents of the submission can be better expressed in that format. A candidate using a format larger than A4 should note that the production of microfiche copies and full-size enlargements may not be feasible;

- copies of the thesis shall be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x)
- the thesis shall be printed on the recto side of the page only; the paper shall be white and within the range 70 g/m² to 100 g/m²;
- the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
- pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;

the title page shall give the following information: (see next page as an example)

- the full title of the submission;
 - the full name of the author
 - that the award is conferred by the University of South Wales/Prifysgol De Cymru
 - the award for which the submission is presented in partial fulfilment of its requirements;
 - the Collaborating Establishment(s), if any; and
 - the month and year of submission.
- The University library copy shall be bound as follows:
 - the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright; and
 - in at least 24pt type the outside front board shall bear the title of the submission, the name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the submission) shall be shown on the spine of the work, reading downwards.

Example of how the front cover of a thesis is laid out:

**AN EVALUATION OF WORKING WOMEN'S FAMILY ROLES IN MANCHESTER'S
TEXTILE INDUSTRY IN THE 19TH CENTURY**

Elizabeth Gaskell

**A submission presented in partial fulfilment of the
requirements of the University of South Wales/Prifysgol De Cymru
for the degree of Doctor of Philosophy**

**This research programme was carried out
in collaboration with the Engels' Historical Society**

January 2016

DETAILED TIMETABLE FOR DOING PHD

(Revised draft, in principle agreed with supervisor)

Background

In the postgraduate training session on starting a research degree by Dr. John Wakeford it was suggested that, for planning purposes, a minimum of 500 effective working days are needed to do a PhD. However, unless carefully planned, more time will be needed. In my particular case careful planning is even more necessary because I am self-financing the PhD and want to keep the loss of income by not working to a minimum¹.

Leeds University assumes that a part time PhD will normally take 5 years, but allows 1 year for “overflow”. However, with special permission, 4 years will be allowed to complete the part time PhD.

For planning purposes I am assuming that I can do the part time PhD in only 4 years and 350 working days, that is from September 2000 - August 2004. The main reasons for assuming that I can do the PhD in less time needed are:

- 1. On two of the four PhD outcomes (research/work environment and personal effectiveness) I am ahead of most research students²;*
- 2. For the last decade I have been working in water resource management, and plan to do so in future as well. This will allow time spent on “work” to be relevant to the PhD and reduce the need for PhD-only related time.*

Detailed work plan

I will be doing the PhD part time, most likely alongside a part time (75%) job in Bangladesh. Depending on the requirements of the job time allocation may be shifted between quarters. Every attempt will be made however to stick to the overall framework. I plan to be at Leeds 4 weeks a year.

Work plan in working days per quarter

Year	2000	2001				2002				2003				2004			T.
Activity / Quarter	4 th	1 st	2 nd	3 rd	4 th	1 st	2 nd	3 rd	4 th	1 st	2 nd	3 rd	4 th	1 st	2 nd	3 rd	%
Training courses	20				5				5				5				10
Literature review	35	5	5	5	1	1		1		1	1	1	1	1	1	1	17
Theor. FW/method.	5	5	5	5	1	1		1		1	1	1	1	1	1	1	9
Pilot case study		5	10	5													6
Upgrading papers				10													3
Field work (incl. pl.)		5			10	20	20	20	20	10							30
Analysis				5			5	5	5	5	5	5					10
Writing up					5			5	5	5	5	5	5	5	5	5	14
Viva																5	1
Total working days	60	20	20	30	22	22	25	32	35	22	12	12	12	7	7	12	^{350/100}

N.B. *Assuming upgrading in September 2001 and viva in December 2004.*

N.B. *A “working day” may be done in two evenings and I plan to do 25% of the study that way.*

¹ Assuming that I do the PhD in 4 years and that I spend on average 1.5 months a year at Leeds, all “direct costs” including tickets and field work come to appr. £ 23,000. The “indirect cost”, that is loss of income is roughly £ 290 per working day. All in all 500 working days, 5 year of study and cost of fieldwork, printing etc. would add up to £ 168,000. I hope to do about 25% of the study in spare time (no loss of income). With that and doing the PhD in 350 days, the total cost would be around £ 100,000. It should be noted however that other ways of calculating the cost of doing a PhD are also possible. For budget purposes I have opted for the maximum-cost calculation so as to engender a sense of urgency.

² See my *Learning Timetable PhD Outcomes*, dated 3 October 2000.

LEARNING TIMETABLE PHD OUTCOMES

(Draft as basically agreed with supervisor)

The darker the shading the more work in that quarter

<i>RESEARCH – to be able to</i>	<i>Present ability (out of 100% goal)</i>	<i>Main learning focus during 6 month periods</i>						
		<i>00</i>	<i>2001</i>	<i>2002</i>	<i>2003</i>	<i>04+</i>		
• <i>identify original topic for research and/or original problem to be tackled</i>	<i>60</i>							
• <i>set research in context of previous knowledge and current priorities/opportunities</i>	<i>40</i>							
• <i>design/execute collection of information and/or investigation using appropriate methodologies</i>	<i>40</i>							
• <i>identify and access appropriate library- or archive-based information</i>	<i>40</i>							
• <i>demonstrate practical and analytical skills</i>	<i>70</i>							
• <i>collect, record and manage information and/or findings</i>	<i>70</i>							
• <i>analyse information and/or findings</i>	<i>70</i>							
• <i>critically evaluate one's findings and those of others</i>	<i>70</i>							
• <i>develop theoretical concepts</i>	<i>40</i>							
• <i>recognise and demonstrate originality and independent thinking</i>	<i>70</i>							
<i>PRESENTATION AND COMMUNICATION – to be able to</i>								
• <i>use appropriate media to present and defend outcomes of research</i>	<i>70</i>							
• <i>present research outcomes in the form of a thesis and defend them at viva</i>	<i>60</i>							
• <i>support the learning of others</i>	<i>80</i>							
<i>RESEARCH/WORKING ENVIRONMENT-to be able to</i>								
• <i>understand relevant ethical and legal issues</i>	<i>90</i>							
• <i>understand relevant health and safety issues</i>	<i>90</i>							
• <i>demonstrate responsible working practices</i>	<i>90</i>							
• <i>demonstrate an awareness of the sources of funding which are appropriate to the area of research</i>	<i>80</i>							
• <i>justify one's research to both the public and funding agencies</i>	<i>80</i>							

<i>RESEARCH – to be able to</i>	<i>Present ability (out of 100% goal)</i>	<i>Main learning focus during 6 month periods</i>						
		<i>00</i>	<i>2001</i>	<i>2002</i>	<i>2003</i>	<i>04+</i>		
• <i>demonstrate an insight into the skills needed when interacting with business</i>	<i>80</i>							
<i>PERSONAL EFFECTIVENESS-to be able to</i>								
• <i>plan and organise a programme of research to submit one’s thesis in time</i>	<i>90</i>							
• <i>understand and manage relationships whether with supervisors, team members or others</i>	<i>80</i>							
• <i>managing own learning so as to meet the specified outcomes for the PhD programme</i>	<i>90</i>							
• <i>use information technology packages and techniques to carry our relevant tasks</i>	<i>70</i>							
• <i>manage one’s own career progression</i>	<i>90</i>							
<i>OTHERS-to be able to</i>								
• <i>identify classical text/writers in the area of stakeholder management of natural resources</i>	<i>30</i>							
• <i>make a broad inventory of possibly relevant articles, reports, documents, books, websites, etc</i>	<i>20</i>							
• <i>scan documents and write them to a CD</i>	<i>50</i>							
• <i>use acrobat reader, work with LAN</i>	<i>50</i>							

Appendix IV

RESEARCH STUDENT / SUPERVISORY TEAM MEETING RECORD TEMPLATE

Date of meeting:

Student name:

Supervisors present:

Review of previous targets and objectives:

Topics discussed:

Any issues identified:

Targets and objectives for the next meeting:

Signatures and date:

Student

Supervisor