



CITY UNIVERSITY
LONDON

Guide for Staff involved in Research Degree Provision

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Introduction

The purpose of this guide is to provide information on the administrative processes for managing the quality and standards of research degree provision across the University. The guide is not intended to be prescriptive but aims to clarify the roles normally responsible for ensuring that these processes are carried out efficiently and effectively. It also aims to provide information to staff on the context within which research degree provision operates within the University. It should be read alongside the University's [Framework for Research Degree Provision](#) which sets out approved academic policy in order to assure the quality and standards of research degree provision.

It is aimed at:

- Research degree administrators
- Senior Tutors of Research
- Supervisors
- Examiners
- Chairs

Please contact either [Edna Morris](#), the University's Academic Development Administrator, or [Naomi Hammond](#), the University's Research Studies Development Manager, within the [Academic Development Unit](#), if you require further clarification on any of the information provided in this guide.

Institutional Arrangements

The following information provides the measures by which research degree provision is managed within the institution at University and at School and/or Departmental level. Research degree provision delivered at our validated institutions is managed through the Validation and Institutional Partnerships (VIP) Committee. Further information on our validation and partnership arrangements is available [here](#).

University level

The quality and standards of research degree provision is managed within the institution at University level through the Deputy Vice Chancellor (Education), the Academic Practice, Programmes and Standards Committee (APPSC), the Senior Tutors for Research Forum, (a formal working group of APPSC), the Academic Development Unit (ADU) and the Research Degree Framework.

Deputy Vice Chancellor (Education)

The Deputy Vice Chancellor (Education) is responsible for managing the University's educational offering, including its research degree provision. Where there is any convergence, the Deputy Vice Chancellor (Education) and the Deputy Vice Chancellor (Research & International) take joint responsibility for managing research degree provision within the University. The Deputy Vice Chancellor (Education) is Chair of the University's Academic Practice, Programmes and Standards Committee (APPSC).

Academic Practice, Programmes and Standards Committee (APPSC)

Oversight of research degree provision is managed formally through the University's Academic Practice, Programmes and Standards Committee (APPSC). APPSC has a responsibility for overseeing the management and

development of policy and processes for research degrees in order to assure the quality and standards and enhancement of research degree provision across the University. APPSC monitors compliance of School Board of Studies with the Research Degree Framework through receipt of regular reports by Schools on various aspects of research degree provision. The full Terms of Reference for APPSC are available [here](#).

Academic Lead for Research Degrees

The Academic Lead for Research Degrees is responsible for providing advice and leadership on research degree provision within the University through regular attendance at APPSC and other relevant University committees. They are additionally responsible for contributing to the development and implementation of University-wide strategies, policies and initiatives in support of research degree provision. The Academic Lead for Research Degrees is Chair of the Senior Tutor (STR) Forum.

Senior Tutor for Research (STR) Forum

The Senior Tutor for Research (STR) Forum is a formal working group of APPSC. It is responsible for advising APPSC on matters relating to the University's research degree provision. Each School and/or Department has a representative on the Forum. It meets formally at least three times a year. The full Terms of Reference for the STR Forum are available [here](#).

Academic Development Unit (ADU)

The management and development of University research degree policy and research degree provision is supported by the Academic Development Unit (ADU). ADU provides advice to academic and administrative staff on all aspects of academic policy relating to research degree provision including advice on admissions, entry requirements, registration, induction, progress and review arrangements, training provision and examination arrangements and any other matters arising such as research student complaints and appeals. ADU assists APPSC in its monitoring of the quality and standards of research degree provision across the University through consideration of relevant management information provided by Schools/Departments. Dedicated staff within ADU additionally service the STR Forum.

Framework for Research Degree Provision

The [Framework for Research Degree Provision](#) clarifies the academic policy that underpins the University's measures for assuring the quality and standards of research degree provision. Additionally, it sets out the operational arrangements for the quality assurance and enhancement of research degree provision across the University.

The Framework consists of:

- Regulations for [Doctoral Programmes](#) and [Masters by Research](#)
- [Research Degree Policy Statements](#)
- [Guide for Research Students](#)
- [Guide for Staff involved in Research Degree Provision](#)
- [Handbook for Examiners \(Research\)](#)
- [Research Degree Typology](#)
- [Governance Framework for Good Practice in Research](#)
- [Appeal Regulations for Research Degrees](#)

School Level

Research degree provision is managed within the institution at School level through the Board of Studies, the role of the Senior Tutor for Research (and other senior academic staff with a broader responsibility for research within the School) and the supervisory team. Some Schools may additionally manage their research degree provision through a School and/or Departmental Research Committee and/or a Research Degrees Committee.

Board of Studies

Under the Framework of Delegated Authority, in relation to research degree provision, Schools are responsible for:

- the approval of the admission and (re)registration of all research students within the School;
- the monitoring and annual progress review of all research students registered within the School;
- the approval of any changes in registration during any period of research student candidature;
- the examination and award of individual research students,
- the acquisition of research student feedback in accordance with the requirements of the University.
- the approval of members of academic staff as Category A or Category B research supervisors and any amendments to their categorisation;
- the accurate record management of research students
- the provision of relevant management information on research degrees within the School as required by the University
- ensuring that research degree policy is followed within the School;
- any other research degree matters arising

Schools are additionally responsible for monitoring the delivery and evaluation of research degree programmes within the School through consideration of the Annual Programme Evaluation for Research Degrees.

Senior Tutor for Research

Each Department has a designated member of academic staff who assumes the role of Senior Tutor for Research. The Senior Tutor for Research has overall responsibility for the management of the administration of research degree provision within the School/Department within which they are appointed. They are familiar with the University's regulations relating to research degrees and are responsible for answering any enquiries on University research degree regulations, policy and procedures. They are the second point of contact for research students after the supervisory team and are responsible for managing any complaints or problems that research students might raise. A full list of their roles and responsibilities is available [here](#).

Supervisory arrangements

A research student is normally appointed a supervisory team consisting of at least two supervisors. One supervisor will be designated the first point of contact with personal responsibility for the effective supervision of the student. The supervisory team are responsible for ensuring that the student

has a clear understanding of what is required of a doctoral degree and in ensuring that the student receives the appropriate training and resource provision to carry out their research to successful completion. A full list of the roles and responsibilities of a supervisory team is available [here](#).

Programme approval

The University has a responsibility to ensure that its research degree provision meets, if not exceeds, certain criteria. The aim of a programme approval process for research degrees, therefore, is to ensure that both the quality and standards of the proposed research degree programme are upheld and that the wider research agenda of the University is supported. The aim is to additionally ensure consistency of practice across the University in its approval of award bearing programmes in addition to enable the University to identify and share areas of good practice. Please see the research degree policy statement on [Approval of a research degree programme](#) for further information.

Annual Programme Evaluation

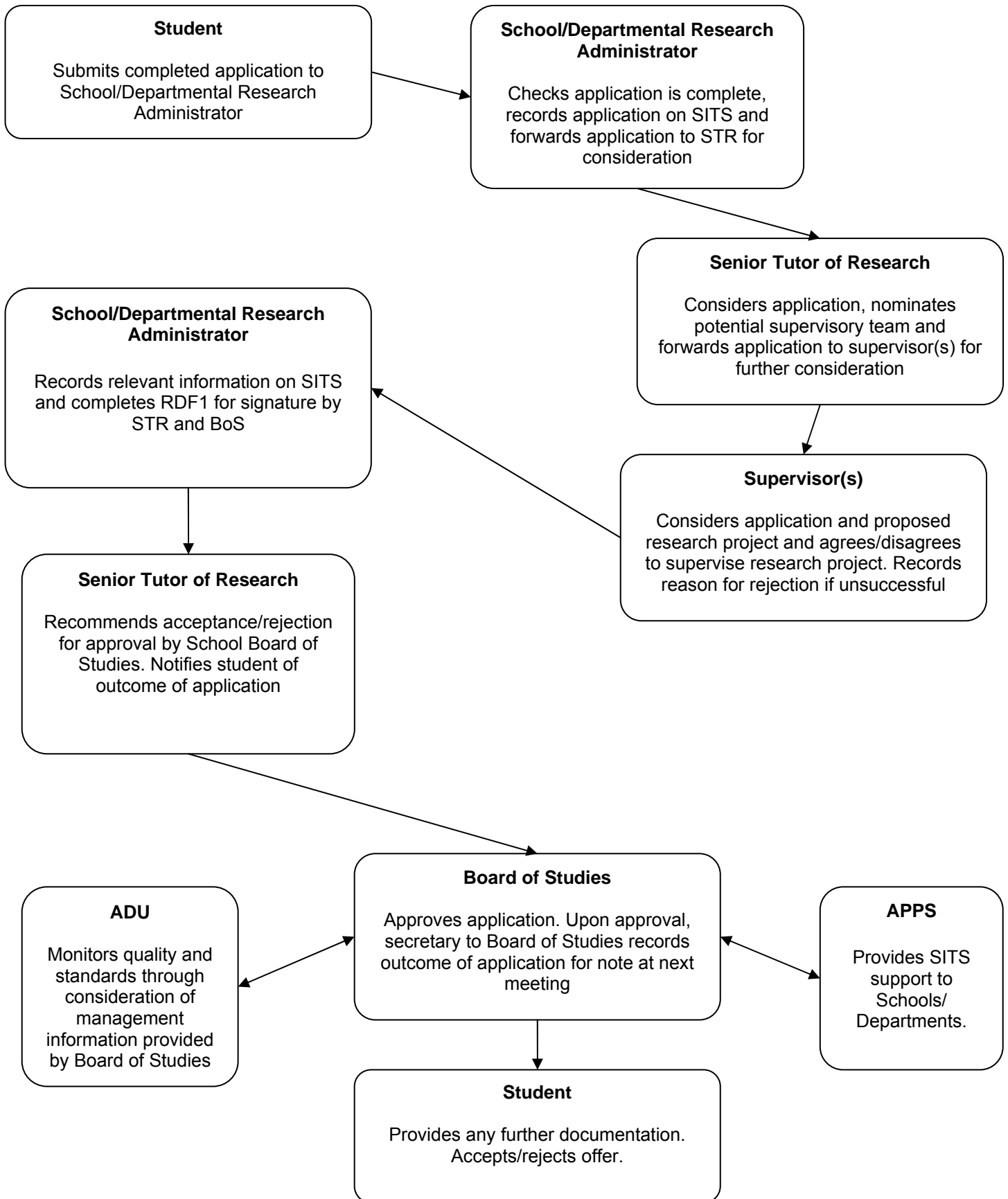
The Annual Programme Evaluation of research degrees is designed to provide the University with an overview of research degree activity across the institution. It is also designed to provide the University with an overview of research degree activity within its validated institutions. It aims to assist the University in monitoring the progress of its research students generally. It also aims to enable the University to compare research degree provision across Schools/Departments, such as through consideration of research student applications or completion rates, in order that it may improve its approach to research degree provision. It additionally allows the University to ensure consistency of practice across Schools/Departments. Further information on the Annual Programme Evaluation process is available [here](#).

Research Degree Processes

The following information provides guidance on the administrative processes for managing the quality and standards of research degree provision across the University. It also clarifies the roles that are normally responsible for ensuring that these processes are carried out efficiently and effectively. These processes should be read alongside the relevant [Research Degree Policy Statements](#) and other relevant supporting documentation on research degree provision.

Research Degree Admissions – summary process

Please see the Research Degree Policy Statement on [Admission for a Research Degree](#) for further information on the admittance of a research student.



Successful applicants

Successful applicants should be advised in writing of the outcome of their application. An offer letter must be on University headed paper and should be generated through the SITS record system. Applicants should be advised in writing, at least, of the following:

- Name (as shown on passport)
- Nationality
- Date of commencement
- Expected end of candidature/Duration of study
- Level of qualification and title of degree (i.e. PhD in Philosophy)
- Outline of any outstanding entry requirements/conditions
- Mode of attendance
- Registration category
- Supervisory arrangements
- Fees
- Registration /Induction details
- Details of any facilities to be made available

Unsuccessful applicants

Applicants who have been unsuccessful should be advised in writing. Schools/Departments may wish to give a reason why an application has been unsuccessful in the letter. Alternatively, they may prefer to provide contact details of an appropriate member of staff who may be able to give them more detailed feedback on their application and why it was unsuccessful.

Summary of Responsibilities

The student:

- submits completed application, including outline of intended research;
- provides names of two referees, at least one of whom will be an academic referee;
- provides certified copies of qualifications if not a graduate of the University;
- provides evidence of English language competency.

Senior Tutor of Research

- oversees application process;
- participates in any interview or selection process;
- nominates supervisory team;
- ensures appropriate resources are available for prospective students and that they are informed of the availability of those resources;
- in conjunction with School/Departmental Research Administrator, completes RDF1 for both successful and unsuccessful applicants;
- in conjunction with School/Departmental Research Administrator, advises applicant of outcome of application in writing.

Supervisory team

- agrees to supervise the project. Outlines reasons of rejection if application is unsuccessful
- agrees responsibilities between the team and the student and outlines requirement of the degree

- agrees training and resource required to carry out the research successfully

School/Departmental Research Administrator

- distributes relevant School/Departmental information to enquirers according to University Admissions Policy;
- receives application and checks documentation including qualifications and references;
- creates SITS record for all applications subject to APPS guidance on **Research Admissions**;
- carries out initial fee assessment;
- generates clearance checks and amends SITS records as applications progress;
- makes arrangements for any interviews of applicants;
- monitors progress of applications and receipt of documentation;
- ensures that two supervisors are allocated and that at least one member of the supervisory team are approved as Category A;
- records outcome/decision of application on SITS records;
- in conjunction with Senior Tutor for Research, completes RDF1 for successful and unsuccessful applicants;
- in conjunction with Senior Tutor for Research, advises applicants of outcome in writing;
- issues visa letters (subject to the visa requirements) and other incidental letters such as those relating to accommodation and council tax, for example;
- monitors overall progress of PGR admissions through consideration of admissions reports in any given academic year.

Board of Studies

- on the recommendation of the STR, indicates approval of successful and unsuccessful applications through completion of RDF1;
- provides management information annually on research degree applications as a cohort within the School to ADU for further consideration.

Academic Development Unit

- advises Schools/Departments on relevant research degree policy and processes;
- maintains and develops academic policy on research degree admissions;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided;
- monitors supervisory loads across the University through consideration of management information provided from Board of Studies.

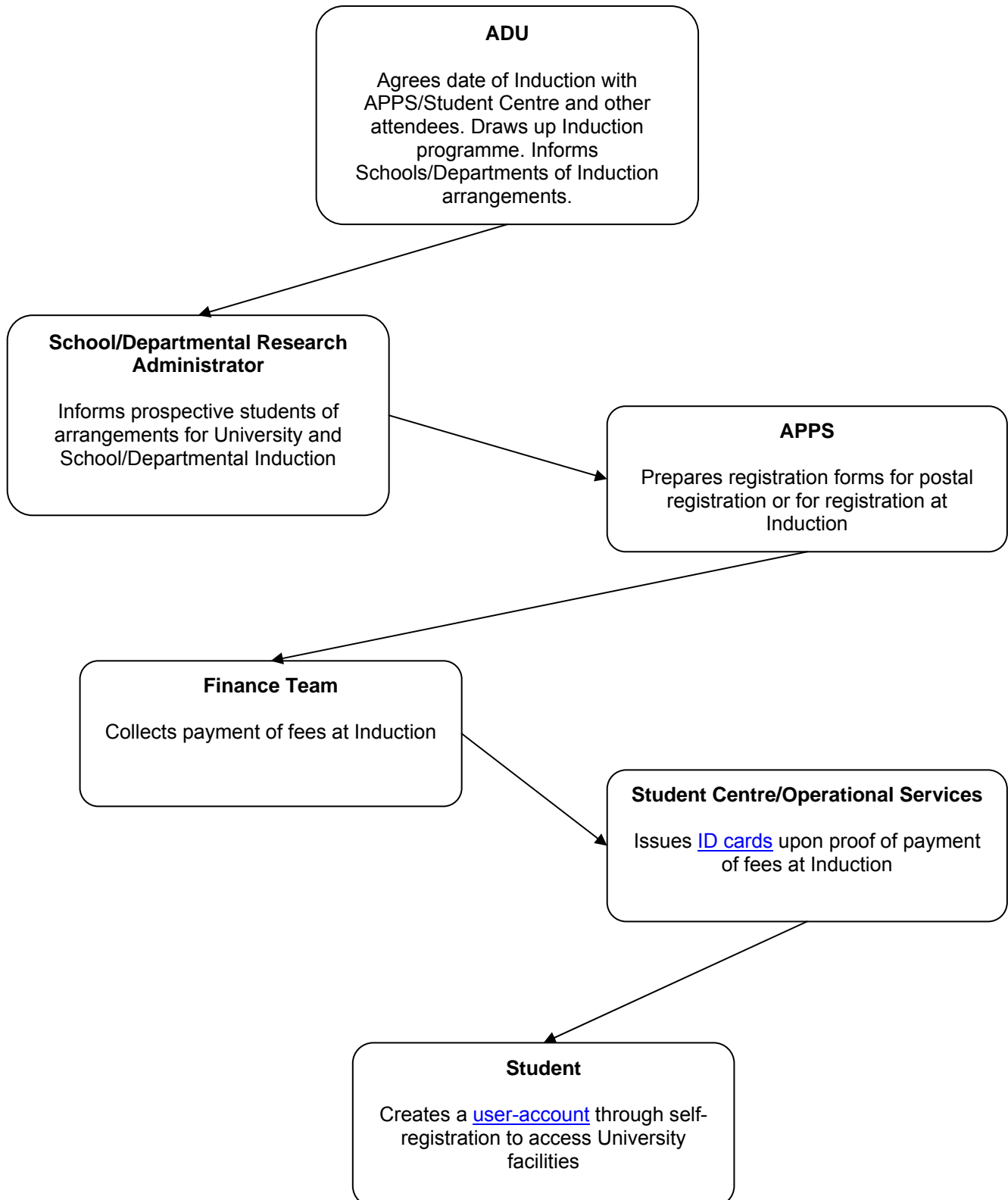
Academic and Professional Process Support

- provides advice/training on fee assessment;
- carries out any required SITS data cleansing;
- runs regular admissions reports on proposed applicants for Schools;
- creates provisional enrolment records for those students who have received and accepted unconditional offers through the ATR process.

N.B. Prospective students who intend to apply for and/or who will be or who are in receipt of funding from a Research Council will be additionally required to provide personal details and information on their proposed research project through the Joint Electronic Submission system (Je-S). The School/Departmental Research Administrator will be able to provide further information on what may be required.

Registration and Induction of new research students – summary process

Please see the Research Degree Policy Statement on [Registration of a Research Degree](#) for further information on registration of a research degree student.



Re-registration

Continuing students are required to re-register each year. Re-registration is contingent on satisfactory academic progress monitored through the [Annual Progress Review](#).

Summary of Responsibilities

Academic Development Unit:

- arranges University Induction in accordance with **Induction checklist**;
- agrees registration arrangements with APPS;
- invites presenters to participate in University Induction;
- uploads presentations on Cityspace (or equivalent);
- notifies Schools/Departments and validated institutions of University Induction programme.

Academic Professional and Process Support:

- arranges registration of new students and re-registration of existing students;
- prepares registration packs to be forwarded to Schools/Departments for collection at Induction;
- prints registration forms for new students;
- organises the issuing of ID Cards.

School/Departmental Research Administrator

- notifies students of University and School/Departmental induction programme;
- arranges School/Departmental Induction in accordance with Induction checklist.

Finance

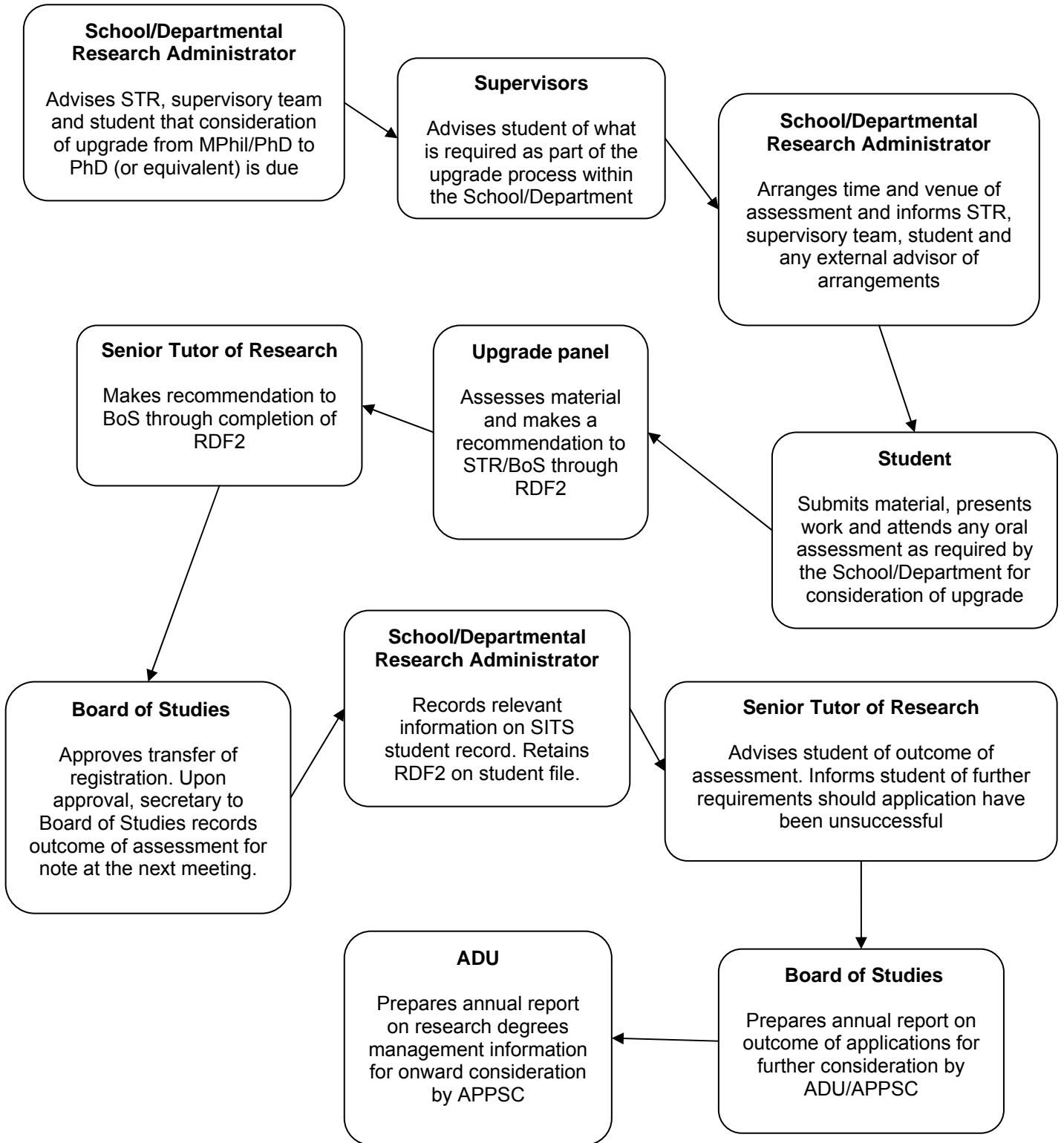
- collects payment of fees.

Student

- provides payment of fees or evidence of any sponsorship;
- creates user account through self-registration.

Application for Transfer of Registration from MPhil/PhD to PhD (or equivalent) – summary process

Please see the Research Degree Policy Statement on [Transfer of Registration from MPhil/PhD to PhD \(or equivalent\)](#) for further information on the purpose of the upgrade.



Successful applicants

Should the application be successful the student will be advised in writing of the following:

- the date by which the transfer of registration is to take effect;
- that transfer of registration from MPhil/PhD to PhD (or equivalent) is simply to indicate that the student has the potential to carry out research to doctoral level. They should be additionally advised that successful transfer of registration does not prejudice the examiners recommendations in consideration of the final award.

Unsuccessful applicants

Should the student not meet the requirements for transfer of registration from MPhil/PhD to PhD (or equivalent) to be recommended, the student will be advised in writing of the following:

- a clear written statement of the reasons why it was not recommended that the student transfer registration;
- guidance on how the student may reach the required standard;
- a date by when the recommendation will be reviewed.
- right of appeal should the School/Department reach a decision that they be not permitted to transfer to PhD.

Students may be advised and/or choose to submit for the degree of MPhil should they not meet the requirements for transfer to PhD.

Summary of Responsibilities

The student

- submits material, presents work and attends any oral assessment required by the School for consideration of transfer to PhD (or equivalent) subject to minimum period of candidature;
- resubmits material if initial assessment is unsuccessful

Senior Tutor of Research

- advises student of outcome of application;
- informs student formally of further requirements should assessment have been unsuccessful and notifies student of right to appeal against registration category if a decision is reached that the student be not permitted to transfer to PhD (or equivalent)
- in conjunction with supervisors, makes a recommendation to Board of Studies through completion of RDF2 that the application be approved

Supervisory team

- advises student of School/Departmental requirements in order to meet criteria for approval of transfer from MPhil/PhD to PhD (or equivalent)
- participates in the assessment process
- makes a recommendation to the STR that the application be either approved or not approved through completion of the RDF2

School/Departmental Research administrator

- advises STR, supervisory team and student that consideration of transfer from MPhil/PhD to PhD (or equivalent) is due;
- arranges time and venue of assessment and informs STR, supervisory team, student and any external advisor of arrangements;
- records outcome of assessment on SITS student record subject to APPS guidance on research student SITS processes;
- makes arrangements for any further assessment;
- in conjunction with the Senior Tutor/Director of Research, completes RDF2 for successful and unsuccessful applicants;
- prepares annual report on outcome of applications for transfer to PhD (or equivalent) for consideration by Board of Studies

Board of Studies

- on the recommendation of STR, considers application and indicates approval of transfer of registration through completion of RDF2;
- provides management information annually on progress of research degree students as a cohort within the School to ADU for further consideration.

Academic Development Unit

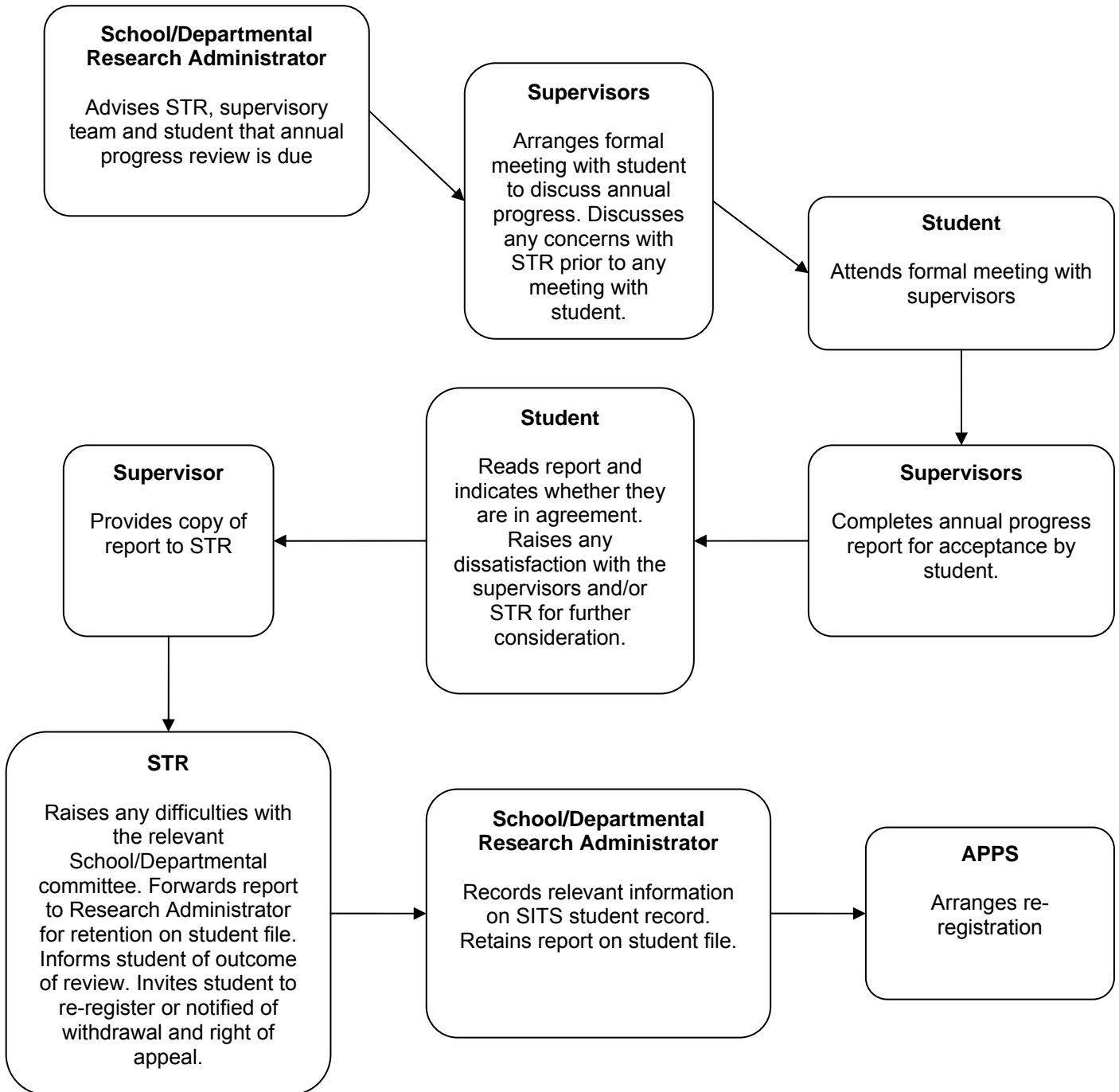
- advises Schools/Departments on relevant research degree policy and processes;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided

Academic and Professional Process Support

- advises Schools/Departments on SITS related activity;
- amends SITS student record subject to APPS guidance on research student SITS processes

Annual Progress Review – summary process

Please see the Research Degree Policy Statement on [Annual Progress Reviews](#) for further information on the annual review.



Summary of responsibilities

The student

- attends formal meeting with supervisory team to discuss annual progress;
- indicates that they do or that they do not agree with the outcome of the report;
- raises any dissatisfaction with the supervision, or the resource available in support of their research within the School/Department, with the supervisory team and/or the Senior Tutor of Research in the first instance.

Senior Tutor/Director of Research

- discusses any potential difficulty with the supervisory team ahead of progress review meeting;
- raises any difficulties arising from the review with the relevant School/Departmental committee;
- forwards report to Research Administrator for retention on student file
- informs student of outcome of review
- invites student to re-register subject to satisfactory progress or notifies student of withdrawal and right of appeal against registration status

Supervisory team

- arranges formal meeting with student to discuss annual progress;
- forwards report to STR and makes a recommendation that the student be either permitted to progress to the next academic year or that the student be withdrawn.

School/Departmental Research Administrator

- advises STR, supervisory team and student that annual progress review is due;
- records outcome of annual progress review on SITS student record;
- retains report on student file.

Board of Studies

- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration.

Academic Development Unit

- advises Schools/Departments on relevant research degree policy and processes
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided;

Academic and Professional Process Support

- invites student to re-register upon confirmation of satisfactory annual progress

Summary of responsibilities

NB: Students who progress direct to examination must also be transferred to writing-up in order to ensure that they do not incur any fees while they are waiting to be examined.

The student

- agrees with the supervisors date by which thesis will be submitted for transfer to writing-up to be approved (subject to maximum period permitted for registration as writing-up);
- if appropriate, submits notification of intention to submit

Supervisory team

- agrees with the student date by which thesis will be submitted for transfer to writing-up to be approved (subject to maximum period permitted for registration as writing-up);
- makes recommendation to the STR that the student be permitted to transfer to 'writing-up';
- if in agreement, and appropriate, supports student's notification of intention to submit;

Senior Tutor/Director of Research

- ensures student meets the criteria for transfer to writing-up;
- makes recommendation to Board of Studies that the student be permitted to transfer to 'writing up';
- informs student of approval of transfer to writing-up and date by which thesis must be submitted;

School/Departmental Research Administrator

- amends SITS student record subject to APPS guidance on research student SITS processes;
- prepares letter through SITS student record informing student of transfer to writing-up for signature by STR.

Finance Team

- makes any fee adjustment and reimburses student of any over payment of fees.

Board of Studies

- on the recommendation of the STR, indicates approval of transfer to writing-up through completion of NTW/RDF3
- provides management information annually on research degree students as a cohort within the School to ADU for further consideration.

Academic Development Unit

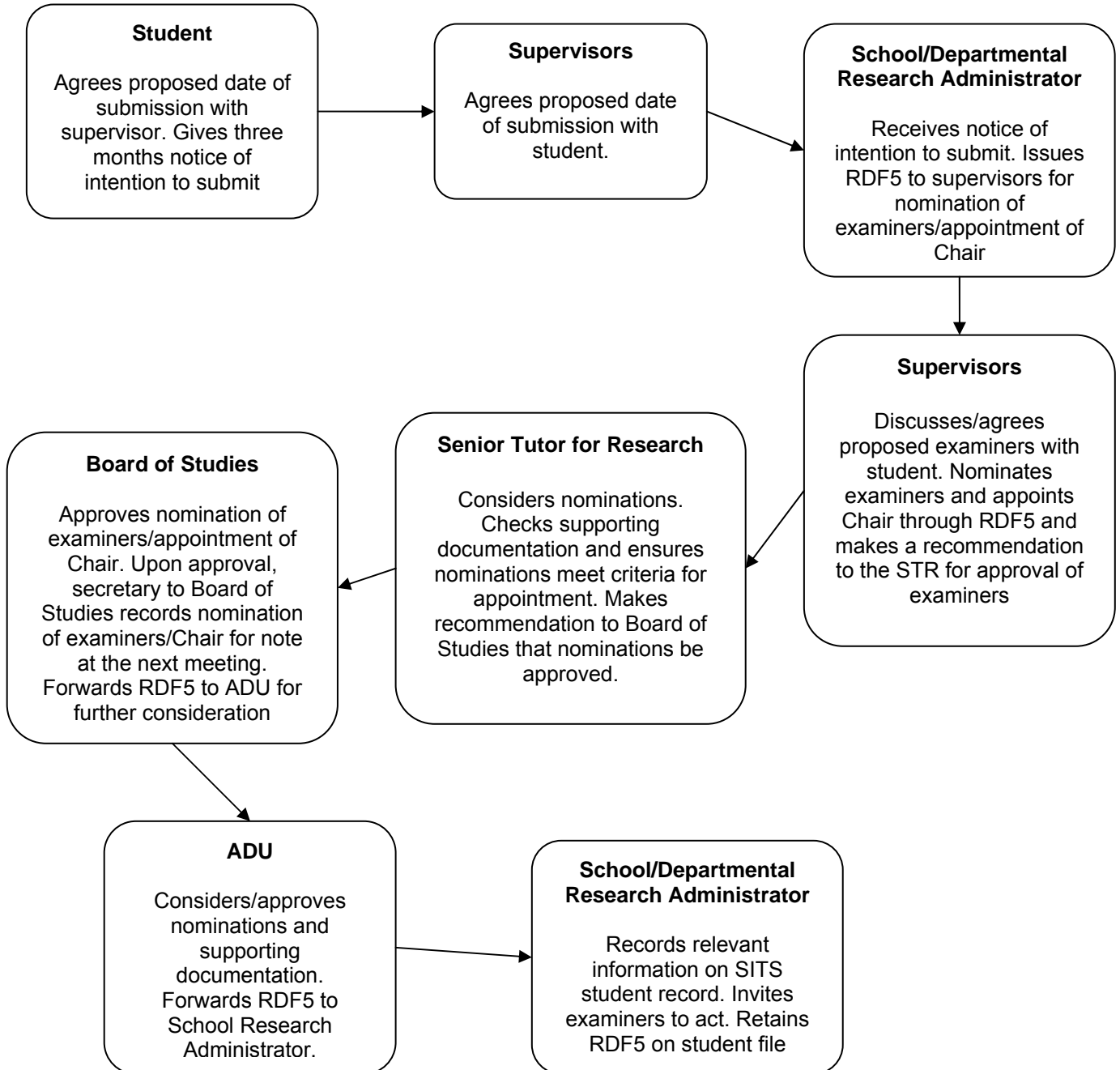
- advises Schools/Departments on research degree policy and processes;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided.

Academic and Professional Process Support

- advises Schools/Departments on SITS related activity;
- amends SITS student record subject to APPS guidance on research student SITS processes

Notification of Intention to submit and Appointment of Examiners – summary process

Please see the Research Degree Policy Statement on [Notification of Intention to Submit](#), [Appointment of Examiners](#) and [Appointment of Chairs](#) for further information.



Summary of responsibilities

The student

- in consultation with supervisory team, agrees proposed date of initial submission;
- completes RDF4 to indicate intention to submit within 3 months of notification;
- discusses with the supervisor who might be appropriate examiner(s)¹
- ensures payment of any outstanding fees.

Supervisory team

- in consultation with the student, agrees proposed date of initial submission;
- indicates in writing if they do not support the proposed submission by the student at that time;
- discusses with the student who might be appropriate examiner(s);
- ensures that the criteria for the appointment of examiners are met;
- provides appropriate documentation in support of nomination of examiners;
- considers student's suggestions and makes a recommendation to the STR through completion of Form RDF5 for the appointment/re-appointment of internal and external examiner(s).

Senior Tutor for Research

- ensures that the criteria for the appointment/re-appointment of examiners are met;
- ensures appropriate documentation in support of nomination of examiners is provided;
- submits a reasoned case for the appointment of proposed examiner(s), drawing attention to relevant evidence, which demonstrates sufficient research experience for the examiner to carry out the role adequately, if appropriate;
- nominates a Chairperson if unavailable to act themselves;
- in conjunction with supervisors, makes a recommendation to Board of Studies through completion of RDF2 that the nomination of examiners be approved.

School/Departmental Research administrator

- receives notification of intention to submit;
- records intended date of submission on SITS student record subject to APPS guidance on research degree SITS processes;
- issues RDF5 to supervisory team for nomination of suitable examiners;
- records approved examiner details on SITS student record subject to APPS guidance on research degree SITS processes and retains RDF5 on student file;
- advises student to pay any outstanding fees;
- invites examiners to act.

Board of Studies

- on the recommendation of the STR, considers nominations and indicates approval of nomination of examiners;
- forwards RDF5 to ADU for further consideration/approval;

¹ A student is permitted to nominate a number of people suitable for the role of examiner but are not permitted to choose who the examiners will eventually be. In the case of staff candidates two external examiners will be appointed.

- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration.

Academic Development Unit

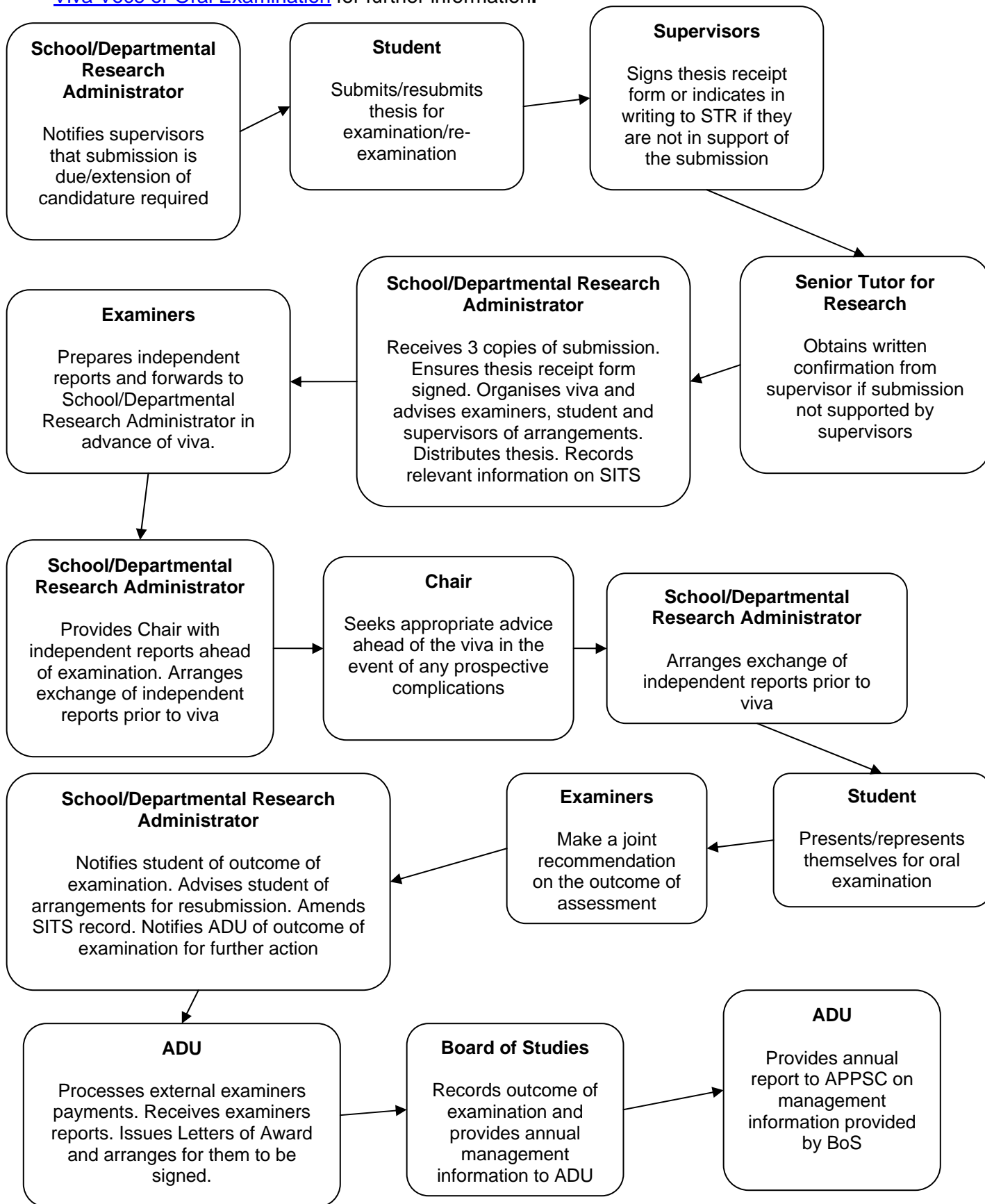
- advises Schools/Departments on research degree policy and processes;
- receives nomination of examiners and considers nominations according to agreed criteria;
- monitors appointment, and re-appointment, of examiners at programme level;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided.

Academic and Professional Process Support

- advises Schools/Departments on SITS related activity;
- amends SITS student record subject to APPS guidance on research student SITS processes.

Submission and Resubmission of thesis and Viva Voce – summary process

Please see the Research Degree Policy Statement on [Submission and Resubmission of thesis](#) and [Viva Voce or Oral Examination](#) for further information.



NB: In no circumstances is a member of the supervisory team permitted to recommend the award of a research degree.

Students should normally be advised of the outcome of the viva voce on the same day of the examination. Students should also be advised of the outcome of the viva voce in writing and be advised as to what is expected of them and by when should any amendments be required.

Summary of responsibilities

The student

- submits thesis for examination with, or without, the approval of the supervisors;
- presents themselves for viva voce on the subject of their thesis unless by permission from Senate on the recommendation of the examiners they are deemed to be exempt from oral examination;
- resubmits thesis for re-examination subject to completion of major or minor amendments;
- makes arrangements to pay any outstanding fees;
- submits one hardbound copy (and one electronic copy) of final thesis upon completion of any amendments to the Research Administrator within the School;
- signs Thesis Deposit Agreement to indicate that they are content for thesis to be deposited in the institutional repository;
- attends graduation.

Senior Tutor for Research

- obtains written confirmation from supervisors if submission at the time is not supported;
- authorises any travel expenses incurred by the external examiner(s);
- advises Chair of roles and responsibilities of chairing a viva voce if not acting as Chair themselves;
- advises student of right to appeal should the examiners judge that the candidate be either not awarded a degree or a lesser degree is awarded where a higher degree is sought;
- in conjunction with Research Administrator, notifies student in writing of outcome of examination;
- publicises outcome of successful examination within the School/Department and through appropriate channels within the University (such as citynews);
- maintains the approved list of research degree titles available within the School/Department.

Supervisors

- signs thesis receipt form or otherwise indicates in writing to the STR if they do not support the submission by the student at that time;
- normally attends viva voce (unless student requests that they not be present) (note that the Supervisor is present at the viva as an observer only);
- confirms the research title to be shown on the degree certificate if and when the candidate is successful.

Research Administrator

- notifies supervisory team that student has reached maximum period of candidature and that submission is due;
- advises supervisory team to apply for extension of candidature if submission is not pending;
- ensures that research student record is in writing-up/progressed to the appropriate period;
- clarify/inform Finance/APPS if SITS data has been withdrawn;

- ensures that the student has no outstanding fees;
- advises student of any relevant workshops on preparing for their viva voce and provides any other supporting information on the expectations of a viva voce;
- receives at least 3 copies of original submission for onward distribution to examiners and supervisor;
- ensures thesis receipt form, indicating the support of the supervisors, is signed or written evidence is received should the supervisors not be in support of the (re)submission at that time;
- makes arrangement for the viva voce, i.e. agrees date, arranges venue and organises any travel arrangements (subject to approval by STR).
- sends submission to examiners with covering information, i.e. regulations, expenses claim form, examiners' report form and any other relevant supporting documentation;
- advises supervisors, STR and/or Chair if not STR and student of date, time and venue of viva voce;
- records date of viva voce on SITS student record subject to APPS guidance on research degree SITS processes;
- receives independent examiners report at least one week in advance of examination;
- provides student with guidance notes before the viva examination;
- provides Chair with independent reports for information ahead of the examination in order that advice can be sought if necessary;
- arranges exchange of independent examiners reports prior to the viva voce;
- in conjunction with the STR, notifies student in writing of outcome of examination;
- advises student of arrangements for re-submission of either minor or major amendments;
- forwards copies of independent and joint examiners reports to ADU for information/action;
- receives re-submission and forwards to examiners according to outcome of original examination;
- ensures that a new examiner report form is sent to examiners along with a fee and expenses claim form for a re-submission;
- receives one hardbound copy (and one electronic copy) of final approved thesis, ensures that thesis Deposit Agreement and the submission of thesis to library form is completed;
- ensures that the theses has been passed and awarded the relevant title before the thesis is received by the Library;
- advises ADU of receipt of thesis and forwards copies to library for cataloguing;
- provide ADU with the title of the thesis;
- amends SITS student record subject to APPS guidance on research degree SITS processes;
- checks graduation lists for inclusion in graduate programme.

Chair

- familiarises themselves with the roles and responsibilities of a Chair and attends any briefing session with STR as appropriate;
- receives a copy of the examiners preliminary report;
- ensures that examiners have received the appropriate documentation - ie ordinance and regulations, roles of the examiners; report form; fees and expenses form;
- raises any prospective complications with appropriate persons within the School/Department and/or ADU for advice on how to proceed;
- ensures examinations are conducted rigorously, fairly, reliably and consistently;
- seeks further advice as appropriate in the rare event that examiners are unable to reach a judgment;
- completes Chair's checklist and identifies any areas of good practice for wider dissemination or any areas for improvement for further consideration

Examiners

- prepares independent reports and forwards to School/Departmental Research Administrator at least one week in advance of viva voce;
- advises student of recommendation immediately after the viva voce or requests further guidance in the event that a judgment can not be reached;
- makes a joint recommendation on the outcome of the examination through completion of the Joint Examiners Report Form;
- provides supplementary guidance to student and supervisors in the event that further amendments are required;
- re-examines resubmission subject to original recommendation and makes a final judgment on outcome of examination.

Board of Studies

- notes outcome of examination for monitoring purposes;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Academic Development Unit

- advises Schools/Departments on research degree assessment policy and processes;
- provides advice to Chairs where appropriate;
- receives copies of independent and joint examiners reports from Schools for information/action;
- processes external examiner payments;
- checks/advises students of any outstanding fees;
- issues, and arranges for authorisation of, letters of awards;
- compiles graduation lists for publication in graduation programme and forwards to APPS/Schools for checking purposes;
- ensures hard bound (and electronic) copies of thesis received and Thesis Deposit Agreement is signed;
- advises School/Departmental Research Administrator of prospective workshops on 'Preparing for your viva';
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided.

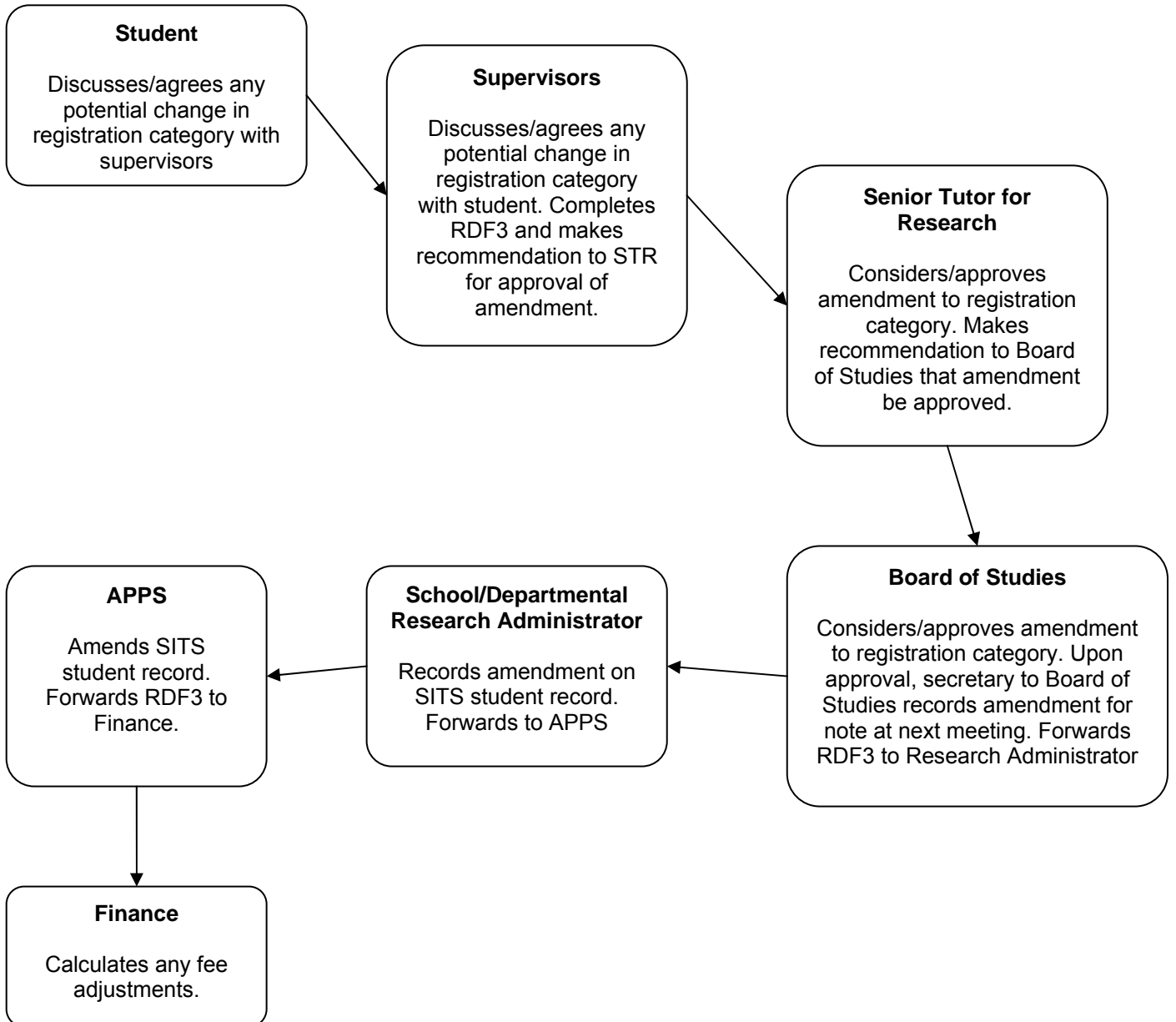
Academic and Professional Process Support

- records/amends award decision on SITS student record subject to APPS guidance on research degree SITS processes;
- In conjunction with ADU, compile graduation lists and forward to Schools;
- confirm students has no library fees outstanding
- invites student to attend graduation and issues certificates of award.

Occasional

Application to amend registration category – summary process

Please see the Research Degree Policy Statement on [Application to amend registration category](#) for further information.



Summary of Responsibilities

Student

- discusses/agrees any potential change in registration with supervisors;
- identifies suitable external supervisor for further consideration in any application for transfer to external registration

Supervisors

- discusses/agrees any potential change in registration with student;
- provides evidence of academic and professional qualifications and experience in support of any application for transfer to external registration
- provides an outline of proposed contact arrangements between the student, the internal supervisor and the external supervisor
- agrees roles and responsibilities, and University's expectations of supervisory team and student, in any application for transfer to external registration;
- completes RDF3, providing any additional documentation in support of application, and makes recommendation to STR for approval of amendment.

Senior Tutor of Research:

- considers/approves any request for change in registration and makes a recommendation to Board of Studies that the amendment be approved;
- in conjunction with Research Administrator, notifies student in writing of change in registration, including confirmation of any revised supervisory arrangements arising and date amendment to take effect

School/Department Research Administrator:

- in conjunction with STR, notifies student in writing of change in registration including confirmation of any revised supervisory arrangements arising and date amendment to take effect
- amends SITS student record subject to APPS guidance on research degree SITS processes

Board of Studies:

- ensures appropriate support provided in any change of registration from internal to external registration;
- on the recommendation of the STR, considers change of registration and approves/rejects amendment;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Academic Development Unit

- advises Schools/Departments on research degree policy and processes;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided.

Academic and Professional Process Support:

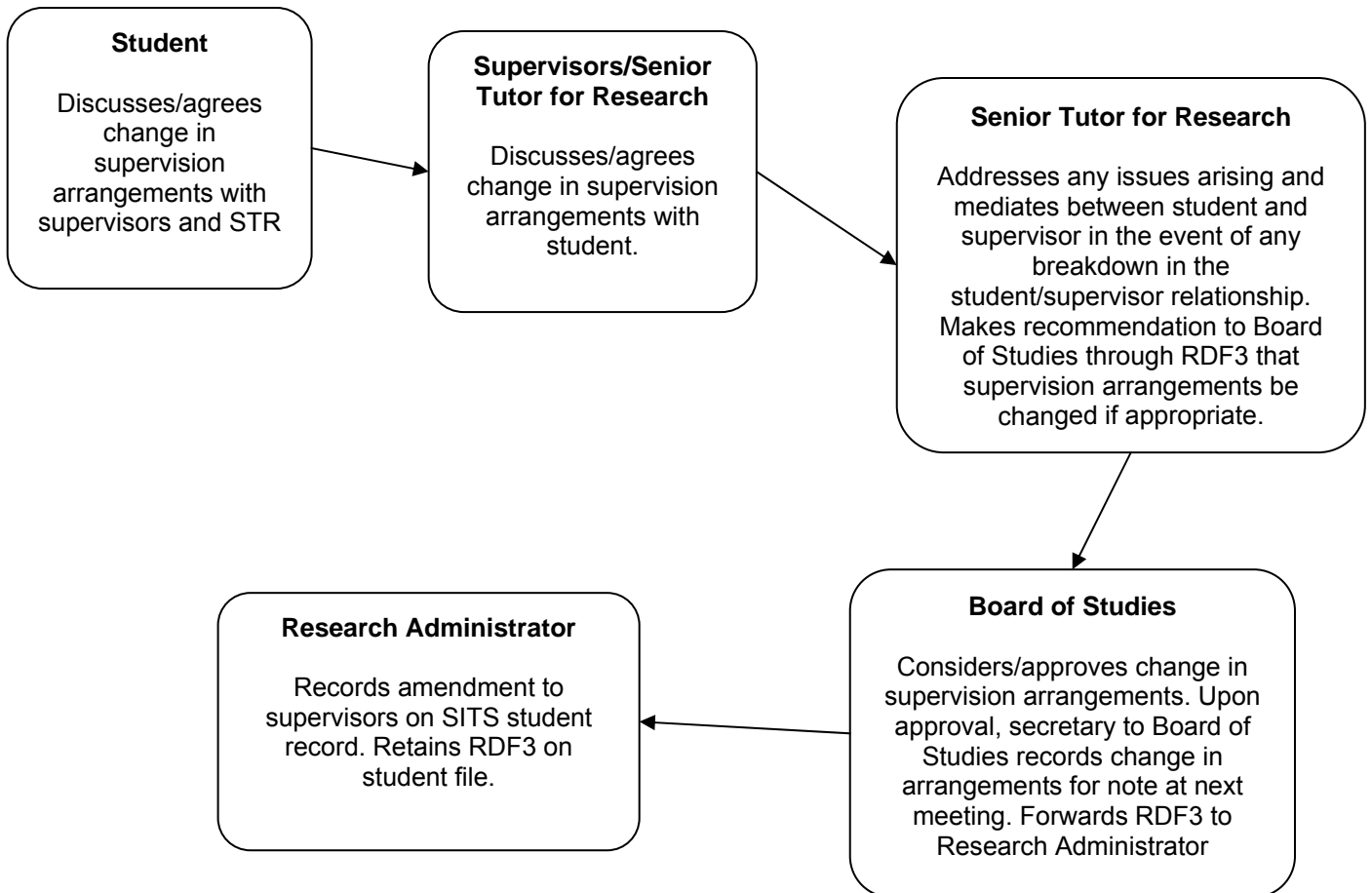
- amends student record subject to APPS guidance on research degree SITS processes

Finance

- calculates any fee adjustments arising out of change in registration and reimburses student as appropriate

Application for a change in supervision arrangements – summary process

Please see the Research Degree Policy Statement on [Application for a change in supervision arrangements](#) for further information



Summary of responsibilities

The student

- discusses/agrees change in supervision arrangements with supervisors and STR
- identifies suitable external supervisor for further consideration in any corresponding application for transfer to external registration

Supervisors

- discusses need for change in supervision arrangements with Senior Tutor for Research and student;
- agrees revised supervision arrangements in the event of an application for transfer to external registration;
- completes RDF3, providing any additional documentation in support of application, and makes recommendation to STR for approval of amendment

Senior Tutor for Research

- mediates between student and supervisor(s) in the event of any breakdown in the student/supervisor relationship and attempt to address any issues arising;
- in conjunction with supervisors, makes a recommendation to the Board of Studies through completion of RDF3 that the supervision arrangements be changed;
- in conjunction with Research Administrator, notifies student in writing of change in supervisory arrangements arising and date amendment to take effect;
- raises any issues arising with the School as appropriate;
- makes a recommendation to Board of Studies that list of approved supervisors be revised if considered necessary;

Board of Studies

- on the recommendation of the STR, considers change of supervision and approves/rejects amendment;
- records change in supervision arrangements for monitoring purposes;
- considers/approves any recommendation to change list of approved supervisors;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Research Administrator

- in conjunction with Senior Tutor for Research, notifies student in writing of change in supervisory arrangements arising and date amendment to take effect;
- amends SITS student record subject to APPS guidance on research degree SITS processes
- amends list of approved supervisors if necessary and advises ADU of change;

Finance

- calculates any fee adjustments arising out of change in registration and reimburses student as appropriate

Academic Development Unit

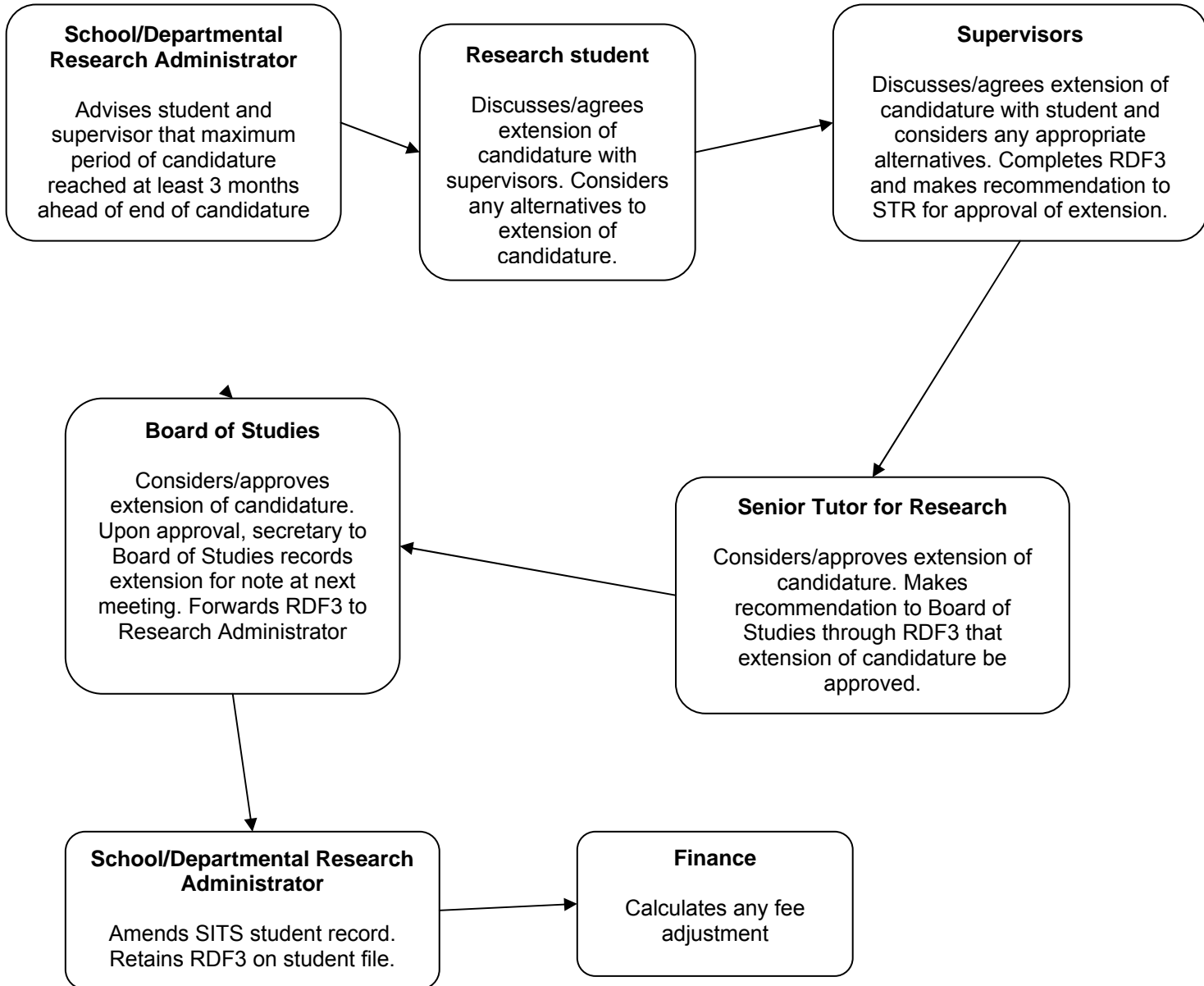
- advises Schools/Departments on research degree policy and processes;
- records any change in list of approved supervisors;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided.

Academic and Professional Process Support

- amends student record subject to APPS guidance on research degree SITS processes

Application of extension of candidature – summary process

Please see the Research Degree Policy Statement on [Application of extension of candidature](#) for further information



Summary of responsibilities

The student

- discusses/agrees extension of candidature with supervisors;
- considers any alternative measures to extension of candidature, such as the submission of material for the award of an alternative degree.

Supervisors

- discusses/agrees extension of candidature with student
- considers additional time, and any other resources, required in order to complete the research
- considers alternative measures to extension of candidature, such as the submission of material for the award of an alternative degree
- agrees with the student what steps should be taken in order to submit within the agreed extension
- completes RDF3, providing any additional documentation in support of application, and makes recommendation to STR for approval of extension.

Senior Tutor for Research

- considers/approves extension of candidature and makes recommendation to Board of Studies through RDF3 that extension of candidature be approved;
- in conjunction with Research Administrator, notifies student in writing of extension of candidature, date from which extension is to take effect and the date at which the extension will finish

Board of Studies

- on the recommendation of the STR, considers extension of candidature and approves/rejects application;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Research Administrator

- Advises student and supervisor that maximum period of candidature reached at least 3 months ahead of end of candidature;
- in conjunction with STR, notifies student in writing of extension of candidature, date from which extension is to take effect and the date at which the extension will finish;
- amends SITS student record subject to APPS guidance on research degree SITS processes

Finance

- Calculates any fee adjustments

Academic Development Unit

- advises Schools/Departments on research degree policy and processes;
- records any change in list of approved supervisors;

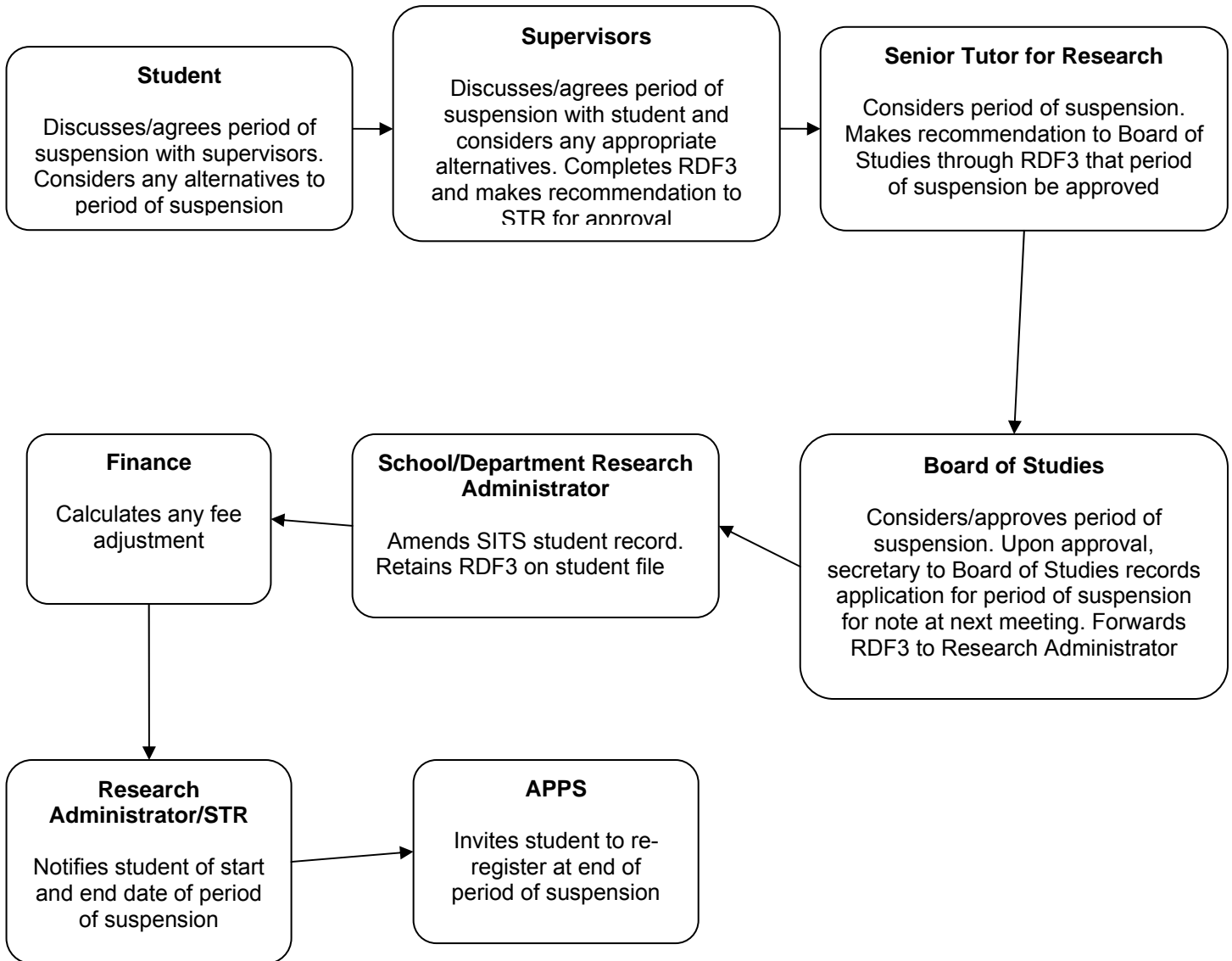
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided

Academic and Professional Process Support

- amends SITS student record subject to APPS guidance on research degree SITS processes

Application for period of Suspension

Please see the Research Degree Policy Statement on [Application for period of suspension](#) for further information



Summary of responsibilities

The student

- discusses period of suspension with supervisors;
- considers any alternative measures to suspension of candidature, such as transfer from full to part-time registration.
- agrees period of suspension with supervisors

Supervisors

- discusses period of suspension with student
- considers any alternative measures to suspension of candidature, such as transfer from full to part-time registration;
- agrees period of suspension with student
- completes RDF3, providing any additional documentation in support of application, and makes recommendation to STR for approval of suspension.

Senior Tutor for Research

- considers/approves suspension of candidature and makes recommendation to Board of Studies through RDF3 that suspension of candidature be approved;
- in conjunction with Research Administrator, notifies student in writing of suspension of candidature, date from which period of suspension is to take effect and date at which period of suspension will finish

Research Administrator

- in conjunction with STR, notifies student in writing of suspension of candidature, date from which period of suspension is to take effect and date at which period of suspension will finish
- amends SITS student record subject to APPS guidance on research degree SITS processes

Board of Studies

- on the recommendation of the STR, considers application for period of suspension and approves/rejects application;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Finance

- calculates any fee adjustments arising out of change in registration and reimburses student as appropriate

Academic Development Unit

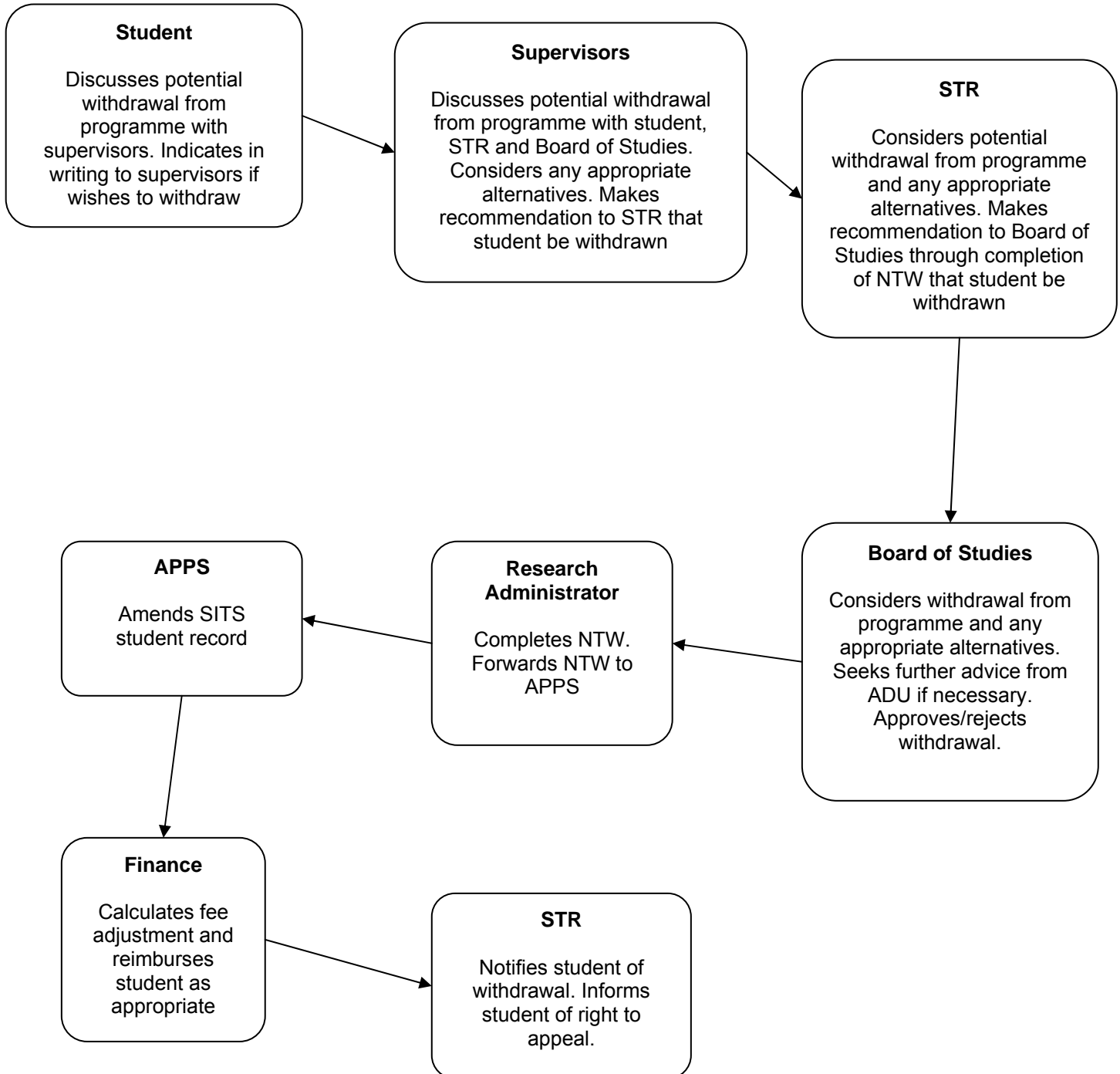
- advises Schools/Departments on research degree policy and processes;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided

Academic and Professional Process Support

- amends SITS student record subject to APPS guidance on research degree SITS processes
- invites student to re-register at end of period of candidature

Notification of withdrawal – summary process

Please see the Research Degree Policy Statement on [Notification of Withdrawal](#) for further information



Summary of responsibilities

The student

- discusses potential withdrawal from programme with supervisors;
- considers any alternative measures to withdrawal of candidature, such as submission of material for alternative degree;
- indicates in writing to supervisors if wishes to withdraw from programme.

Supervisors

- discusses potential withdrawal from programme with student and STR
- considers any alternative measures to withdrawal of candidature, such as submission of material for alternative degree;
- makes recommendation to STR that student be withdrawn.

Senior Tutor for Research

- considers potential withdrawal from programme and any appropriate alternatives;
- makes recommendation to Board of Studies through NTW that candidature be withdrawn;
- in conjunction with Research Administrator, notifies student in writing of withdrawal of candidature, date from which withdrawal of registration is to take effect (for fee purposes) and an outline of the reasons for withdrawal

Research Administrator

- in conjunction with STR, notifies student in writing of withdrawal of candidature, date from which withdrawal of candidature is to take effect (for fee purposes) and an outline of the reasons for withdrawal;
- amends SITS student record subject to APPS guidance on research degree SITS processes

Board of Studies

- on the recommendation of the STR, considers withdrawal from programme and approves/rejects recommendation;
- provides management information annually on progress of research degree students as a cohort within the School/Department to ADU for further consideration

Finance

- calculates any fee adjustments arising out of change in registration and reimburses student as appropriate

Academic Development Unit

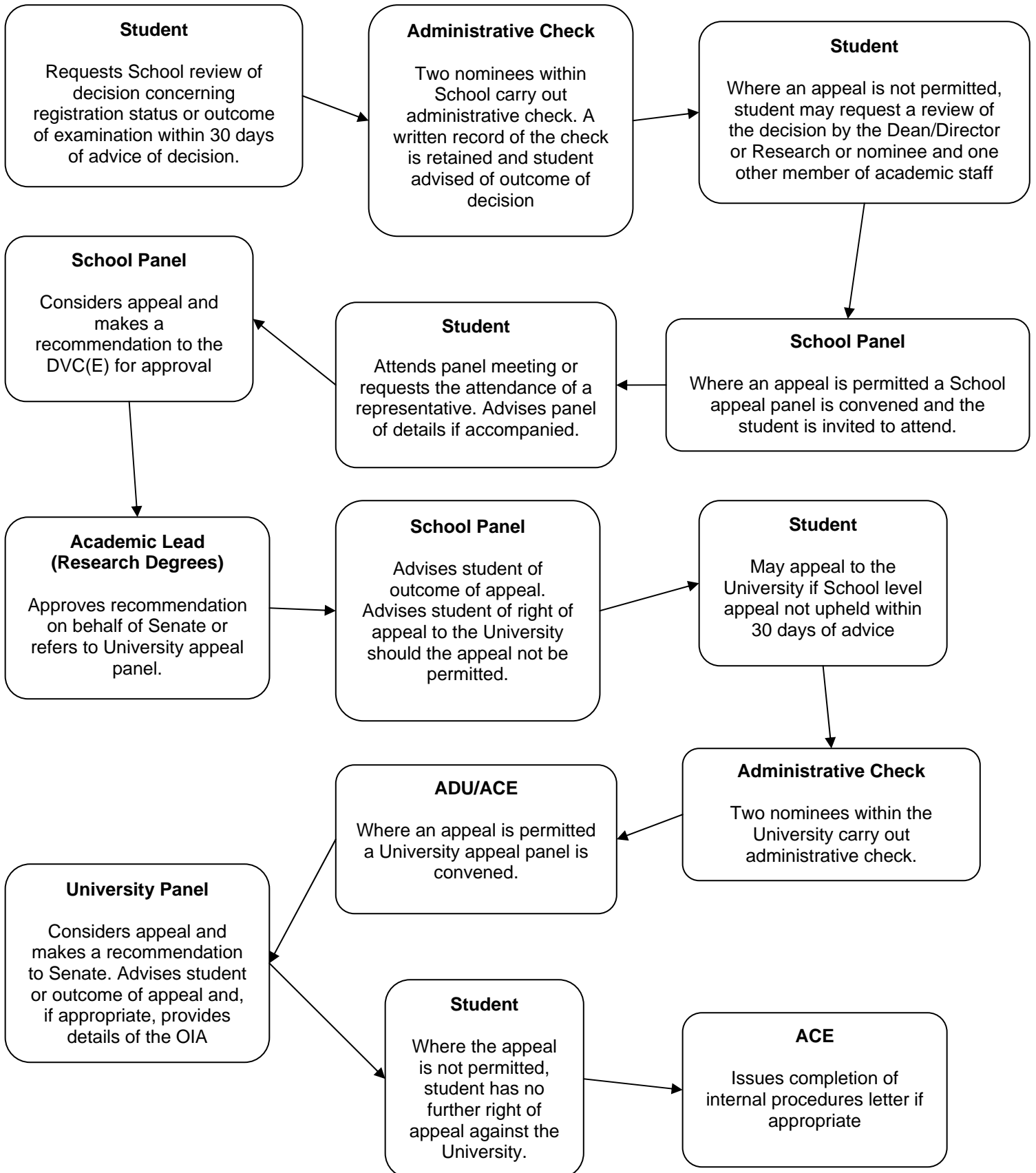
- advises Schools/Departments on research degree policy and processes;
- monitors quality and standards through consideration of management information provided by Board of Studies and prepares annual report to APPSC on management information provided

Academic and Professional Process Support

- amends SITS student record subject to APPS guidance on research degree SITS processes

Research degree appeals – summary process

Please see the Research Degree Policy Statement on [Research Degree Appeals](#) for further information



Summary of responsibilities

The student

- requests School/University review within 30 days of advice of decision;
- attends School/University appeal panel or agrees a representative with the panel in advance of the meeting.

School/Departmental Research Administrator

- organises School appeal panel where appropriate;
- advises student of details of panel.

Senior Tutor for Research or nominee(s)

- conducts School administrative check;
- notifies student of outcome of School appeal;
- advises DVC (Education) of outcome of appeal for final approval (Subject to change).

Deputy Vice Chancellor (Education)

- approves recommendation by School on behalf of Senate (subject to change).

Board of Studies

- provides management information annually on research degree appeals to ADU/ACE for further consideration

Academic Development Unit

- monitors research degree appeals across the University annually ;
- in conjunction with ACE, organises University appeal panels and notifies student of details;
- in conjunction with ACE, notifies student of outcome of appeal;
- monitors quality and standards through consideration of management information provided by Board of Studies on research degree appeals and prepares annual report to University APPSC for further consideration

Appeals, Complaints & Enhancement Office

- in conjunction with ADU, organises University appeal panels and notifies student of details;
- in conjunction with ADU, notifies student of outcome of appeal and issues 'completion of internal procedures letter'.

Approval of research supervisors – summary process

Please see the Research Degree Policy Statement on [Approval of research supervisors](#) for further information.

The list shall be consulted when considering the allocation of supervisor(s) to new students and when considering any applications for a change to the supervisory arrangements of existing students.

Summary of responsibilities

Supervisors

- ensures familiarity with University's Framework for Research Degrees;
- attends relevant training by the School/University in support of their roles and responsibilities.

Senior Tutor for Research

- ensures approved supervisor list and approved research degrees title list are maintained;
- recommends any amendments to the lists to the Board of Studies for approval;
- notifies ADU of any amendments to the proposed approval lists subject to the approval of Board of Studies.

Board of Studies

- ensures new and existing research students are allocated a supervisory team in accordance with the University's policy on the approval of research supervisors;
- monitors the approval of Category A and Category B research supervisors.

Academic Development Unit

- in liaison with LDC organises relevant training for new and existing research supervisors;
- monitors the approval of Category A and Category B research supervisors within the School and across the University and revises membership of the University STR Forum as appropriate.

Administration

Please ensure that the following research degree forms, available here, are completed in order that the most up to date forms are used.

All forms require the signature of the Senior Tutor for Research and the secretary to the Boards of Studies, for note at the next Board meeting. Should the Senior Tutor for Research and/or Secretary to the Board of Studies be the same person then the Chair of the Board of Studies should sign in place of the Secretary to the Board.

Where supporting information is requested (such as evidence of extenuating circumstances) please ensure that it is provided.

Upon approval by the Senior Tutor for Research and the Board of Studies please forward to the relevant department for further action.

Forms

[RDF1 – Research degree application for approval](#)
[RDF2 – Transfer from MPhil/MMA to PhD/DMA](#)
[RDF3 – Amendment to study arrangements](#)
[RDF4 – Notification of intention to submit](#)
[RDF5 – Notification of examiners](#)
[RDF6 – Examiners joint report form](#) (password protected)
[Research degree application form](#)
[Transfer form](#)
[Research student supervision agreement](#)
[Record form of formal supervision](#)
[Draft learning contract](#)
[First year six month progress report](#)
[Research student annual progress report](#)
[Annual programme evaluation](#)
[Submission of thesis and thesis receipt](#)
[Checklist for Chairs](#)
[Notes for students](#)
[Thesis Deposit Agreement](#)
[Submission of thesis to the library](#)

Letter Templates

The following templates are provided for use by School/Departments. Where possible, Schools/Departments are advised to use SITS generated standard letters. The following templates are password protected. Please contact either [Edna Morris](#), the University's Academic Development Administrator, or [Naomi Hammond](#), the University's Research Studies Development Manager, for the password in order to access these letters.

[Admissions letter](#)
[Intention to submit confirmation letter](#)
[Invitation to act – External examiner](#)
[Invitation to act – Internal examiner](#)
[MPhil submission – External examiner](#)
[MPhil submission – Internal examiner](#)
[PhD submission – External examiner](#)
[PhD submission – Internal examiner](#)
[Major amendments](#)
[Minor amendments](#)
[Resubmission letter](#)

[Final thesis letter](#)
[DPsych invitation to act – External examiner](#)
[DPsych invitation to act – Internal examiner](#)
[Additional information DPsych Examiners \(Health\)](#)
[Additional information DPsych Examiners](#)
[Student outstanding fees](#)

Reporting requirements (TBC)

Appendices

Framework for research degrees including:

[Framework for Research Degree Provision](#)
[Regulations for Doctoral Programmes](#) and [Regulations for Masters Degrees by Research](#)
[Research Degree Policy Statements](#)
[Guide for Research Students](#)
[Handbook for Examiners \(Research\)](#)
[Typology of Research Degrees](#)
[Governance Framework for Good Practice in Research](#)
[Appeal Regulations for Research Degrees](#)