

Roles and Responsibilities of Research Students and Supervisors

Scope

All full and part-time research students including those registered on a validated research degree programme and academic and administrative staff who have a responsibility for managing research degree provision.

To be read in conjunction with [the University's Quality Manual](#), in particular the policy on the [Appointment of Doctoral Degree Supervisors](#)

Roles and Responsibilities of Research Students and Supervisors

The degree and kind of supervision required by a research student will vary between particular students, over time and between disciplines. It is, though, helpful if all parties engaged in research activity have a clear understanding of their roles and responsibilities, and mutual expectations, from the outset.

The table (below) outlines the roles and responsibilities of the student and the supervisors to help establish an effective supervisee/supervisor relationship.

Students will typically have a first (Category A) and second (Category B) supervisor, both employed by City, University of London. However, there may be circumstances when it is necessary, and in the best interests of the student, to appoint an external supervisor or consultant. Such circumstances might include:

- to support vocational, industrial or clinical aspects of the research degree or where students are undertaking research with a relevant external body
- to provide specialist advice on a particular area of a student's research which is outside the expertise of the supervisory team
- to ensure that a research student has access to resources required for the research that are otherwise inaccessible to the student.
- on the retirement of the first supervisor during the period of a student's doctoral degree
- when a supervisor has moved to another institution but is able to continue to supervise at a distance

An **External Supervisor** is someone who:

- May not be a permanent member of University staff but will have a **defined contractual relationship** with the University to support the supervision as part of a supervisory team (led by a Category A supervisor as defined above and who takes overall responsibility).

External supervisors may not act as the first supervisor; this role must be undertaken by a member of University staff. An external supervisor will have a contractual relationship with the University as a Visiting Hourly Paid Lecturer (VHPL), to include an engagement agreement and schedule of work. The external supervision arrangement would also be subject to a signed formal agreement, which should include the following and should be signed by the Institution and the external supervisor:

- a statement that the supervisor must comply with the University's Regulations, policies and procedures to ensure the consistency of the supervision (see Table)
- a statement which confirms that any funding bodies or sponsors have been informed (if the appointment follows any change in supervisory circumstances)
- (where the supervisor has moved to a new Institution), an explicit statement that the new institution gives permission for the academic to finish their supervisory duties
- the notice period should the external supervisor decide for any reason that they can no longer continue to supervise the student

The **Consultant** is someone who:

- May be a visiting member of staff or industrial collaborator or any other academic colleague but does **not** have a contractual relationship with the University for the purpose of research degree supervision.
- May not be a supervisor but may provide specialist advice on a particular area of a student's research, which is outside the expertise of the supervisory team.

A consultant does not have a contractual relationship with the University. However, a signed formal agreement, which covers the following, is recommended:

- An explicit statement that sets out role and responsibilities of the consultant (or agreement to the Institution Guidelines – see Table)
- A statement that the consultant must comply with the University's Regulations, policies and procedures to ensure the consistency of the support given
- The notice period should the consultant decide for any reason that they can no longer continue to support the student.

Full Roles and Responsibilities for both External Supervisor (with a defined contractual relationship with the University) and Consultant are given in the table below.

Roles and Responsibilities of Research Students and Supervisors

Candidate	First supervisor for internally registered candidates	Internal supervisor for externally registered candidates	External supervisor	Consultant
<ul style="list-style-type: none"> • Agree frequency of meetings with supervisors and provide adequate explanation of any failure to attend agreed scheduled meetings or any other commitments • Consider the draft learning contract and the supervisor/supervisee agreement, with your supervisors to help clarify your understanding of your roles and responsibilities during your period of candidature. • Write up summaries of meetings with supervisors, through the formal supervision record, noting any disagreements, for both yourself and supervisors to sign. • Externally registered students are expected to spend three/four days a year at City University London. 	<ul style="list-style-type: none"> • Represents the institution making the award and accountable to the appropriate Board of Studies for the satisfactory completion of the project • Agree frequency and nature of supervision required at any particular stage of the research project, taking into account the student's mode of study and the particular requirements of the research project • Consider the draft learning contract, and the supervisor/supervisee agreement, with the student to help clarify understanding of respective roles and responsibilities during the period of candidature. • Ensure that a record of formal supervision meetings, including date, duration, summary of discussion and advice given, are maintained. • Agree a process for dealing with any urgent difficulties such as 	<ul style="list-style-type: none"> • Represents the institution making the award and accountable to the appropriate Board of Studies for the satisfactory completion of the project • Clarifies to the student and the external supervisor, prior to commencement, the University's requirements regarding scope, content, structure, timing and intellectual level of research thesis appropriate to the target qualification • In liaison with the external supervisor, considers the draft learning contract and the supervisor/supervisee agreement, with the student to help clarify understanding of respective roles and responsibilities during the period of candidature. • In liaison with the external supervisor and the student, considers/agrees any 	<ul style="list-style-type: none"> • Agree frequency and nature of supervision required at any particular stage of the research project, taking into account the student's mode of study and the particular requirements of the research project • In liaison with the internal supervisor, consider the draft learning contract and the supervisor/supervisee agreement, with the student to help clarify understanding of respective roles and responsibilities during the period of candidature. • Ensure that a record of formal supervision meetings, including date, duration, summary of discussion and advice given, are maintained. • Agree a process for dealing with any urgent issues such as contact by telephone, email or the arrangement of additional meetings at short notice. 	<ul style="list-style-type: none"> • Provide support for the formal supervision process at any particular stage of the research project, taking into account the student's mode of study and the particular requirements of the research project • In liaison with the supervisors, support the development of the draft learning contract and the supervisor/supervisee agreement with the student, to help clarify understanding of respective roles and responsibilities during the period of candidature (including that of the Consultant vis-à-vis that of supervisor) • Ensure that a record of formal meetings with the Consultant, including date, duration, summary of discussion and advice given, are maintained.

	<p>contact by telephone, email or the arrangement of additional meetings at short notice</p> <ul style="list-style-type: none"> • Ensure sufficient available time to dedicate to the needs of each particular student under supervision and ensure that supervisory meetings are uninterrupted as far as possible, by telephone calls, personal callers and School/Departmental business. 	<p>changes to the proposed research</p> <ul style="list-style-type: none"> • Confirms any financial arrangements, modus operandi for exchange of information, progress review, provision of reports and inter-vivos meetings. • Progress the student's application in liaison with the Senior Tutor for Research and School/Departmental requirements; • Visit the student and external supervisor at least once an academic year. 	<ul style="list-style-type: none"> • Ensure sufficient available time to dedicate to the needs of each particular student under supervision and ensure that supervisory meetings are uninterrupted as far as possible, by telephone calls, personal callers and School/Departmental business. 	<ul style="list-style-type: none"> • Ensure sufficient available time to dedicate to the needs of each particular student with whom the Consultant is working
<ul style="list-style-type: none"> • Establish and maintain an itinerary for the progress of your research, including the choice of your research topic, the conduct of literature reviews, pilot studies and qualitative and quantitative research and a timetable for writing up your thesis within the minimum and maximum period of candidature for your mode of study; 	<ul style="list-style-type: none"> • Advise the student on the selection of a suitable research project, ensuring that the proposed research can be completed satisfactorily and within the relevant maximum period of study • Provide guidance on the quality and standards expected of the research project • Provide guidance on relevant literature and sources, research methods, and the avoidance of plagiarism and breach of copyright. 	<ul style="list-style-type: none"> • Advise the student on the selection of a research project, ensuring that the proposed research can be completed satisfactorily and within the relevant maximum period of study • Provide guidance on the quality and standards expected of the research project • Provide guidance on relevant literature and sources, research methods, and the avoidance of plagiarism and breach of copyright. 	<ul style="list-style-type: none"> • Advise the student on the selection of a suitable research project, ensuring that the proposed research can be completed satisfactorily and within the relevant maximum period of study • Provide guidance on the quality and standards expected of the research project • Provide guidance on relevant literature and sources, research methods, and the avoidance of plagiarism and breach of copyright. 	<ul style="list-style-type: none"> • If appropriate to the time the Consultant is appointed, support the selection of a suitable research project, taking into consideration that the proposed research can be completed satisfactorily and within the relevant maximum period of study • Provide guidance on the quality and standards expected of the research project • Provide guidance on relevant literature and

	<ul style="list-style-type: none"> Establish and maintain a timetable for the completion of the project, including completion dates for each successive stage, taking into consideration the requirements of relevant funding bodies. Review the timetable regularly and set agreed, and achievable, targets 	<ul style="list-style-type: none"> In liaison with the external supervisor, establish and maintain a timetable for the completion of the project, including completion dates for each successive stage, taking into consideration the requirements of relevant funding bodies Review the timetable regularly and set agreed, and achievable, targets 	<ul style="list-style-type: none"> In liaison with the internal supervisor, establish and maintain a timetable for the completion of the project, including completion dates for each successive stage, taking into consideration the requirements of relevant funding bodies Review the timetable regularly and set agreed, and achievable, targets 	<p>sources, research methods, and the avoidance of plagiarism and breach of copyright</p> <ul style="list-style-type: none"> In liaison with the internal supervisor, support the timetable for the completion of the project Support the supervisors to review the timetable regularly and in the setting of agreed, and achievable, targets
<ul style="list-style-type: none"> Assume responsibility for identifying the original contribution of your research as it develops 	<ul style="list-style-type: none"> Possess sufficient knowledge of the research area to provide accurate advice and guidance 		<ul style="list-style-type: none"> Possess sufficient knowledge of the research area to provide accurate advice and guidance 	<ul style="list-style-type: none"> Possess sufficient knowledge of the research area to provide accurate advice and guidance
<ul style="list-style-type: none"> Take note of guidance and feedback from your supervisors. 	<ul style="list-style-type: none"> Provide constructive criticism of written material in accordance with the agreed timetable promptly Advise the student of any inadequacy in standards of work normally expected from research students, or slow progress, orally and in writing, and suggest/arrange appropriate developmental support Take note of feedback from the student and take 	<ul style="list-style-type: none"> Review student submissions and discuss content and timing with student and external supervisor, making any recommendations to meet the University's standards In liaison with the external supervisor, advise the student of any inadequacy in standards of work normally expected from research students, or slow progress, orally and in writing and 	<ul style="list-style-type: none"> Provide constructive criticism of written material promptly in accordance with the agreed timetable In liaison with the internal supervisor, advise the student of any inadequacy in standards of work normally expected from research students, or slow progress, orally and in writing and suggest/arrange appropriate 	<ul style="list-style-type: none"> Provide specialist advice, input and/or access to resources to support the research project within the scope of the agreement and the defined timetable and constructive criticism of written material In liaison with the supervisors, advise the student of any inadequacy in standards of work normally expected

	appropriate action according to University's framework for student engagement.	arrange/support appropriate developmental support <ul style="list-style-type: none"> Take note of feedback from the student and take appropriate action according to University's framework for student engagement. 	developmental support <ul style="list-style-type: none"> Take note of feedback from the student and take appropriate action according to University's framework for student engagement. 	from research students, or slow progress, orally and in writing and suggest appropriate developmental support to the supervisors that may help the student <ul style="list-style-type: none"> Take note of feedback from the student and advise the supervisors on appropriate action (noting the University's framework for student engagement)
<ul style="list-style-type: none"> Make appropriate use of teaching and learning facilities and training opportunities made available by the University, School or Department Complete any training arranged by or through the University and/or third party 	<ul style="list-style-type: none"> Arrange training in subject-specific and generic skills as appropriate Provide comment on the research studies learning experience and support infrastructure at the University as part of the research study annual programme evaluation exercise 	<ul style="list-style-type: none"> In liaison with the external supervisor, arrange training on subject-specific and generic skills as appropriate. 	<ul style="list-style-type: none"> In liaison with the internal supervisor, arrange training on subject-specific and generic skills as appropriate. 	<ul style="list-style-type: none"> Advise the supervisors on any aspects of training on subject-specific and generic skills as appropriate
<ul style="list-style-type: none"> Raise any difficulties that are impeding the development of your research, such as access to data, information, facilities, equipment or supervisory relationship, with your 	<ul style="list-style-type: none"> Provide written reports of the student's progress annually through the annual progress review in accordance with the requirements of the 	<ul style="list-style-type: none"> In liaison with the external supervisor, provide written reports of the student's progress annually through the annual progress review in accordance with the 	<ul style="list-style-type: none"> In liaison with the internal supervisor, provide written reports of the student's progress annually through the annual progress review in accordance with the 	<ul style="list-style-type: none"> Provide written reports of the student's progress annually, in support of the requirements of the School and the University and to

<p>supervisor immediately or, if irresolvable, at an appropriate level within the School/University at the earliest opportunity</p>	<p>School and the University and to other external funding bodies when needed</p>	<p>requirements of the School and the University and to other external funding bodies when needed</p>	<p>requirements of the School and the University and to other external funding bodies when needed</p>	<p>other external funding bodies when needed and requested by the supervisors</p>
<ul style="list-style-type: none"> • Ensure that your supervisors are aware of any circumstances that might require a change in your registration status, such as suspension, withdrawal, extension of candidature or a change from full to part-time registration 	<ul style="list-style-type: none"> • Monitor student's attendance as appropriate and inform the Board of Studies of any absence or withdrawal 	<ul style="list-style-type: none"> • In liaison with external supervisor, monitor student's attendance and inform the appropriate Board of Studies of any absence or withdrawal 	<ul style="list-style-type: none"> • In liaison with internal supervisor, monitor student's attendance as appropriate and inform the internal supervisor of any absence or withdrawal 	<ul style="list-style-type: none"> • Where formally requested by the Institution, monitor the student's attendance as appropriate (especially where requested when the student is formally seconded to work with the Consultant)
<ul style="list-style-type: none"> • Act as a responsible member of the University's academic community. • Engage in activities that encourage you to communicate your research to the wider research community 	<ul style="list-style-type: none"> • Introduce your supervisees to other workers/researchers in the field and to appropriate academic bodies and learned societies • Arrange for the student to present work to staff and/or other students at seminars and conferences 	<ul style="list-style-type: none"> • Take an active role in introducing the student to other workers in the field, and appropriate academic bodies and societies • Arrange for the student to present work to staff and/or other students at seminars and conferences 	<ul style="list-style-type: none"> • Introduce your supervisees to other workers/researchers in the field and to appropriate academic bodies and learned societies • Arrange for the student to present work to staff and/or other students at seminars and conferences 	<ul style="list-style-type: none"> • Introduce the student to other workers/researchers in the field and to appropriate academic bodies and learned societies as appropriate
<ul style="list-style-type: none"> • Accept ultimate responsibility for your own research activity and candidacy • Submit written material to your supervisors regularly in accordance with the agreed timetable • Decide when to submit 	<ul style="list-style-type: none"> • Read and comment on a draft of the complete thesis • Provide advice on writing up the research or parts of it for publication or in the development of patents • Ensure that the student understands the 	<ul style="list-style-type: none"> • Read and comment on a draft of the complete thesis • Provide advice on writing up the research or parts of it for publication or in the development of patents • Ensure that the 	<ul style="list-style-type: none"> • Read and comment on a draft of the complete thesis • Provide advice on writing up the research or parts of it for publication or in the development of patents • In liaison with the internal supervisor, 	<ul style="list-style-type: none"> • As time permits, read and comment on a draft of the complete thesis providing feedback. • Provide advice on writing up the research or parts of it for publication or in

<p>the thesis for examination taking into account the view of your supervisors, which is advisory only</p>	<p>procedures for the submission of thesis and assist the student in preparing for the oral examination</p> <ul style="list-style-type: none"> • Initiate the procedures for nominating examiners well in advance of the thesis being submitted • Provide guidance, encouragement and counsel regarding the future career plans of the student 	<p>student understands the procedures for the submission of thesis and assist the student in preparing for the oral examination</p> <ul style="list-style-type: none"> • Initiate the procedures for nominating examiners well in advance of the thesis being submitted • In liaison with the external supervisor, provide guidance, encouragement and counsel regarding the future career plans of the student 	<p>ensure that the student understands the procedures for the submission of thesis and assist the student in preparing for the oral examination</p> <ul style="list-style-type: none"> • In liaison with the internal supervisor, provide guidance, encouragement and counsel regarding the future career plans of the student 	<p>the development of patents</p> <ul style="list-style-type: none"> • Support the supervisors to help the student to understand the procedures for the submission of thesis and assist where possible the student in preparing for the oral examination • In liaison with the supervisors, provide guidance, encouragement and counsel regarding the future career plans of the student
<ul style="list-style-type: none"> • Ensure that you are aware of, and comply with, the University's Framework for Research Degree Provision, the University's Governance Framework for Good Practice in Research (including the types of academic misconduct, the process for investigating academic misconduct and the penalties for any 	<ul style="list-style-type: none"> • Ensure that the student is aware of and complies with, the University's Framework for Research Degree Provision, the University's Governance Framework for Good Practice in Research (including the types of academic misconduct, the process for investigating academic misconduct and the penalties for any identification of misconduct), the regulations of the University and any other 	<ul style="list-style-type: none"> • Ensure that the student is aware of, and complies with, the University's Framework for Research Degree Provision, the University's Governance Framework for Good Practice in Research (including the types of academic misconduct, the process for investigating academic misconduct and the penalties for any identification of misconduct), the 		

<p>identification of misconduct), the regulations of the University and any other interested parties, and the relevant sections of the University's health and safety policy</p>	<p>interested parties, and the relevant sections of the University's health and safety policy</p>	<p>regulations of the University and any other interested parties, and the relevant sections of the University's health and safety policy</p>		
<ul style="list-style-type: none"> • Agree in advance times and duration of holidays with your supervisory team. You are recommended to take at least 25 days holiday a year in addition to periods when the University is closed 	<ul style="list-style-type: none"> • Advise the student in advance of any planned periods of absence from the University and ensure that appropriate arrangements for alternative supervision are in place if away for longer than a semester or 8 weeks during the summer and ensure that the student is informed of, and in agreement with, the alternative arrangements 	<ul style="list-style-type: none"> • In liaison with external supervisor, ensure that appropriate arrangements for alternative supervision are in place if away for longer than a semester or 8 weeks during the summer; ensure that the student is informed of, and in agreement with, the alternative arrangements 	<ul style="list-style-type: none"> • Advise the student in advance of any planned periods of absence and, in liaison with internal supervisor, ensure that appropriate arrangements for alternative supervision are in place if away for longer than a semester or 8 weeks during the summer; ensure that the student is informed of, and in agreement with, the alternative arrangements 	<ul style="list-style-type: none"> • Help the student to be aware in advance of any planned periods of absence and seek to make arrangements for support as needed during that absence.
<ul style="list-style-type: none"> • Ensure that fees are paid at the appropriate times 				