

UNIVERSITY OF WARWICK

GRADUATE SCHOOL

Guidelines on the Supervision and Monitoring of Research Degree Students and Guidelines on the Supervision of Students Based Away from the University.

1. Responsibilities at University Level

The University, through the Warwick Graduate School, is responsible for developing policies across the University for the admission, supervision and examination of research degree students. The University is also responsible for monitoring the implementation of these policies, and reviewing their effectiveness, within Faculties and academic departments and (through the Academic Resourcing Committee) for the allocation of resources to departments to support the provision of research degree programmes.

More specifically the Warwick Graduate School is responsible for:

- (a) Defining University-level policy on admission of candidates for research degrees and monitoring the implementation of this policy by departments, together with the Student Admissions and Recruitment Office.
- (b) Making available, through the Graduate School website and annual induction events, up to date information concerning the facilities available to research students at University-level, the regulations pertaining to their degree, the role of their research degree supervisor(s), the system of examination for research degree students, and the University's expectations of them as research students.
- (c) Working with academic departments and other sections of the University to provide students with access to appropriate information technology and library and other study facilities, careers advice and, where necessary, English Language tuition and welfare guidance.
- (d) The development of the University's generic skills programme for research students, in conjunction with Student Careers and Skills who are responsible for the operations of such programmes.
- (e) Providing advice to departments on the production of departmental research student handbooks, departmental codes of practice on research student supervision, monitoring of research students, the role of research supervisors and dealing with unsatisfactory progress.
- (f) Provide input into training and staff development programmes for research student supervisors in conjunction with the Learning and Development Centre.
- (g) Offering students the opportunity to provide timely feedback on their experiences as research students and on the quality of research supervision received, through the consideration at University level of annual reports from individual students, through departmental staff-student liaison committees for postgraduate students and through representation on University Committees. In the event that a student raises concerns in the confidential part of the annual report, the Graduate School will first contact the student to obtain his/her permission before discussing these concerns with the Departmental Director of Graduate Studies or representative of another University department as appropriate.

- (h) Ensuring that departments have put in place appropriate arrangements for the continued supervision of research students should their supervisor leave the University.
- (i) Ensuring that departments have established appropriate mechanisms for the monitoring of research student progress. These mechanisms will be reviewed by the University as part of the programme of Institutional Teaching and Learning Reviews.
- (j) Ensuring that the University's standards and procedures for the examination of research degrees are adhered to in full through:
 - (i) The publication of definitions of the University's expectations for research degrees and guidance concerning the length and presentation of research theses; approval of examiners and, where appropriate, examination advisers (following nomination by departments); and the provision of appropriate guidance to examiners on their role and the application of the University's research degree regulations (see Guide to the Examination of Higher Degrees by Research).
 - (ii) The establishment of proactive administrative procedures which encourage students to complete their research successfully within an appropriate timescale for their degree.
 - (iii) The operation and review of the University's procedures for student appeals against the decisions of research degree examiners and the handling of Student Academic Complaints from postgraduate research students.
- (k) Defining policy in relation to research degree students who engage in teaching and ensuring that appropriate training is available from academic departments and the Learning and Development Centre to students who teach.
- (l) Monitoring research student progression and submission rates across the University and discussing any problems identified with the departments concerned.
- (m) The consideration and monitoring of requests for periods of suspension or further extensions, in line with the procedures set out below.
 - (i) Temporary Withdrawal

If it becomes apparent that a student has medical or other problems that are affecting their progress with the research programme it may be appropriate for a student to request a period of suspension (temporary withdrawal). Requests should be submitted to the Graduate School together with a note of support from the Director of Graduate Studies. If the request is being made on medical grounds a medical note should be included. Departments are encouraged to submit requests for suspension when a problem arises rather than retrospectively. It is not possible to request a period of temporary withdrawal whilst a student is in extension.

In some cases it may not be appropriate to request a period of suspension (for example a long-term health problem or personal difficulties). In these circumstances the department should advise the Graduate School in case it later becomes necessary to request a further period of extension.

Students funded directly by one of the UK research councils will not normally be permitted a period of suspension without the prior approval of the research council. If a department is considering requesting a period of suspension for a research council funded student they should contact the Graduate School in the first instance.

(ii) Extensions

Students first registered before 1 August 2011

Extensions up to 12 Months

The University expects students (and their supervisors) to strive to complete and submit their theses within the period of formal registration set out at the beginning of their period of study. However, research students will normally be allowed a continuation period of up to twelve months after the end of fee-paying registration where this is required to complete the writing up and final revisions of the thesis.

A letter is sent to students and their departments by the Graduate School six months prior to the end of the period of formal registration reminding them of the expectation to complete and submit a thesis at the end of the period of registration. Students will be asked to review their progress toward submission with their supervisors. If they are of the view that the thesis will be completed and submitted no later than 3 months after the end of the period of registration, no further action will be required.

If the student and supervisor consider that a period of extension will be required to complete the thesis, they will be asked to prepare a schedule setting out how the thesis will be completed within a year (or such shorter period as may be considered necessary) of the end of their current period of registration. This schedule should be approved by the Director of Graduate Studies within the department and passed to the Graduate School for consideration. The Graduate School will consider the attached request and Director of Graduate Studies' supporting document and if the extension is granted will write to the student formally granting the extension period.

Students funded directly by one of the UK research councils will only be normally only be permitted a period of extension beyond their submission date in line with the policy of the relevant research council. If a department is considering requesting a period of extension for a research council student they should contact the Graduate School in the first instance.

Extensions Beyond 12 Months

Extensions beyond this twelve-month period will only be considered under exceptional circumstances, such as ill health or severe personal difficulties. The fact that a student is required to undertake employment during their continuation period will not normally be considered as an exceptional circumstance.

Requests for extensions beyond the twelve-month continuation period should be submitted in advance of the end of the continuation period and will be considered by the Chair of the Graduate School. Students are required to submit the following documentation in support of such a request:

- (1) A letter setting out the nature of any exceptional circumstances;
- (2) A statement of support from the department;
- (3) A realistic work plan agreed with their supervisor for completion of the thesis within the proposed period of extension;
- (4) Any relevant supporting documents (e.g. medical note).

Students funded directly by one of the UK research councils will not normally be permitted a period of extension beyond the original 12-month continuation period without prior permission from the relevant research council. If a department is considering requesting such a period of further extension for a research council student they should contact the Graduate School in the first instance.

Students first registered after 1 August 2011

Students who first registered with the University after 1 August 2011 are automatically registered for a period of four years (full-time) and seven years (part-time). Students are expected to submit within three years but there is no need to request extensions within the period of maximum registration. Requests for extensions beyond the maximum period of registration will only be granted in very exceptional circumstances and will be subject to the same requirements noted above, in the section 'Extensions beyond 12 months'. Students entering their fourth year ('Submission Pending' year) are not expected to undertake any new research or data collection during this period.

Students funded directly by one of the UK research councils will only be permitted a period of extension beyond their submission date in line with the policy of the relevant research council. If a department is considering requesting a period of extension for a research council student they should contact the Graduate School in the first instance.

2. Responsibilities at Departmental Level

Management of Research Students

Academic departments are responsible for:

- (a) Developing explicit mechanisms for determining and monitoring staff workloads in respect of teaching, research student supervision, personal research and administrative commitments so that the other duties of supervisors within their departments leave them sufficient time to supervise their research students to an appropriate standard.
- (b) Drawing the attention of students and supervisors to the University's Research Code of Conduct and putting in place a mechanism to ensure the

review of students' research proposals in accordance with the University's Ethical Scrutiny Framework. The relevant documents are available on the Research Support Services website at <http://www2.warwick.ac.uk/services/rss/>

- (c) The nomination (preferably for a period of more than one year) of a member of staff to act as Director of Graduate Studies (or equivalent) with responsibility, in collaboration with other members of the department as appropriate, for oversight of the selection and progress of research students, the allocation of supervisors and departmental procedures for the monitoring of the progression of research students, including reviewing the effectiveness of these procedures at departmental level. Departments should ensure that this person is clearly identified through departmental student handbooks.
- (d) The nomination of a member of staff as an adviser/mentor/personal tutor for each research student, whom the student can consult in circumstances in which s/he does not wish to consult the supervisor or in the case of difficulties that the supervisor cannot or will not resolve. In departments with small numbers of postgraduate research students, this may form part of the duties of the Director of Graduate Studies. It may also be combined with the role of second supervisor, where one is appointed, but otherwise should not preclude the member of staff concerned from acting as internal examiner or examination advisor for the student if this is appropriate. Students should be referred to other University support services such as the Senior Tutor's Office as required.
- (e) Putting in place appropriate arrangements for the admission of postgraduate research students. Great care should be exercised over the admission of research students and the allocation of supervisors. At least two members of academic staff should be involved in the decision to admit a student to a research degree. Departments are advised to consider requiring a candidate to submit written work and, if possible, attend an interview. Departments should look for evidence not only of academic ability but also of a general understanding of the nature of research in the chosen discipline. A candidate should be made aware of the type of research being undertaken within the department and by their allocated supervisor.

At least one supervisor must be identified at the admissions stage and communicated to Postgraduate Admissions. No candidate will be offered a place by the University if a supervisor is not identified. Departments should also bear in mind the requirement eventually to put in place arrangements for alternative supervision in the event of the first nominated supervisor not being able to continue to act for any reasons during the course of the student's registration.

Care should also be exercised by departments in deciding whether a student should be admitted to full-time or part-time registration for a research degree, especially where it is evident that a student will be residing some distance from the University and/or will be required to undertake paid employment in order to finance themselves during their period of study. As a matter of guidance, full-time research students should expect to be required to devote 1800 hours per annum to their studies. Departments should seek the advice of the Graduate School on such matters in appropriate cases.

- (f) The allocation of supervisors to research degree students, taking account of the subject expertise, skills and experience of staff and the provision of supervision throughout the period of registration, including any possible absences for study leave. Supervision will normally be provided by a designated main supervisor, who must not be on probation and a suitably

experienced member of Warwick academic staff, assisted by a team which may consist, inter alia, of the Director of Graduate Studies, the student's adviser/mentor/personal tutor, the second supervisor if one is appointed, and other members of academic staff who may be asked to train or advise the student in specific areas (e.g. research techniques or methods).

It is open to departments to consider the appointment of a second supervisor where, for example, additional specialist subject expertise is required. This may also be appropriate as a means of providing supervisory experience for new or less senior members of staff, including postdoctoral researchers, provided that the individual concerned has completed supervisory training. Departments should bear in mind that designated second supervisors will not normally be eligible to act as an internal examiner for the student.

If more than one supervisor is appointed for any student, the Department should check that the roles of the supervisors are clear to both supervisors and students. Where it is proposed that a student should be jointly supervised by a person who is not a member of the University of Warwick staff, it is particularly important that a prior agreement is put in place between the department and the external joint supervisor and/or his or her employers as to the division of supervisory responsibilities and any payment for them.

Departments are advised to give particular care to arrangements involving an inexperienced supervisor. Staff who are on probation, postdoctoral researchers and staff with little or no experience of supervising research students in a University environment (even if there is no period of probation) should normally not be appointed as the sole or main supervisor. If in exceptional circumstances, it is necessary to appoint such a person as the main supervisor (e.g. because of their subject expertise), a member of staff with greater supervisory experience should be designated as the second supervisor. A department should satisfy itself that all supervisors have received appropriate training and that a satisfactory method for supporting and monitoring all supervisors is in place. Retired members of staff or those on honorary appointments are not eligible to act as sole or main supervisors.

- (g) Establishing clear procedures to allow for a change of supervisor should a student and/or supervisor feel this to be necessary. It is recognised that, should a student request a change of research topic to one in which the department has insufficient expertise to provide supervision, it may not be possible to find an alternative supervisor. In cases where appropriate expertise is not able to be provided within the department, the Director of Graduate Studies and Head of Department will ensure that appropriate arrangements are in place to ensure the student is able to complete their degree.
- (h) Making appropriate arrangements for the supervision of students during periods of absence of the supervisor(s) from the University of more than one month, such as during summer vacations or study leave, and in periods when the student is undertaking research away from the University for a similar period. Departments should make available to students information on the mechanisms through which informal and formal concerns about these arrangements may be raised, should this be necessary.
- (i) Making appropriate arrangements for students whose supervisors suffer a prolonged period of illness.
- (j) In consultation with the student, making appropriate arrangements for his/her continued supervision should a student's supervisor(s) leave the University.

Departments are expected to report the details of such arrangements to the Warwick Graduate School.

- (k) Putting in place appropriate arrangements for the supervision of students who are expected to be away from the University for substantial and prolonged periods during the course of their studies, including periods undertaking fieldwork, and the review on at least an annual basis of the effectiveness and appropriateness of these arrangements. Departments should refer to the supplementary guidelines that can be found in the document entitled '*Guidelines for the Supervision of Research Students Based Away from the University*'.
- (l) Submitting requests for a period of suspension for students when appropriate in line with the University procedures set out in section 1.
- (m) Monitoring closely the progress of students throughout their period of study or period of extension with the aim of supporting students in the submission of their research thesis, normally by the end of the period of formal registration, and in accordance with the *Good Practice Guide on Monitoring Student Attendance and Progress*. Formal departmental reviews of progress should normally be held at least on an annual basis. Where at any time it appears that inadequate progress is being made, or that submission might be delayed, the Director of Graduate Studies should discuss with the student and supervisor(s) a plan to improve progress. If necessary, periods of extension should be requested in line with the procedures set out in section 1. Where, exceptionally, it appears that, even after remedial action, a student's lack of progress is such that s/he will not be able to complete their thesis to an adequate standard, the department should consult the Graduate School as to the appropriate procedures to follow in the particular case.
- (n) The prompt nomination of suitable examiners (and, where appropriate, examination advisers) for research degrees to the Warwick Graduate School, normally at least one month before submission of the thesis and in accordance with University requirements and procedures as set out in the *Guide to Examinations for Higher Degrees by Research*.
- (o) Providing students whose theses are referred for resubmission with appropriate advice on revising the thesis in line with the notes of guidance provided by the examiners. This advice would usually be provided by a member of the supervisory team.

Information and Support for Supervisors

Academic departments are responsible for:

- (a) Providing guidance to supervisors on departmental monitoring procedures and University and departmental expectations of the supervisory role. This should include guidance on providing feedback to research students, giving an indication of a reasonable timescale for feedback, and on departmental requirements for record-keeping of supervisions. This information should also be made available to students.
- (b) Encouraging new members of academic staff to attend staff development activities in research supervision.
- (c) Informing supervisors of departmental and University procedures for dealing with cases in which a student appears not to be making sufficient progress or when a breakdown has occurred in the relationship between student and supervisor.

- (d) Providing guidance to supervisors on the University's Research Code of Conduct and the mechanism for review of research students' proposals under the University Ethical Scrutiny Framework.

Information and Support for Students

Academic Departments are responsible for:

- (a) Providing students with information (preferably through a departmental handbook and induction meetings) concerning the facilities and training available to them in the department; the department's expectations and arrangements for monitoring progress and upgrading to full PhD registration; procedures, both at departmental and University-level, for making both informal and formal complaints concerning supervision and changing supervisor; operation of the department's postgraduate staff-student liaison committee; and any other relevant departmental procedures. Students should be advised of their responsibilities, as set out in section 4 of these Guidelines. Departments should provide students with information on the sources of advice and support that are available to them from the Senior Tutor's Office, Student's Union Advice and Welfare and the Warwick Graduate School when considering making a complaint.
- (b) Providing an induction and research training programme, including participation in any appropriate Faculty or University-level activities, which covers research methodology, the use of equipment and computer software, health and safety, ethical issues, intellectual property rights and transferable skills as appropriate to the discipline. Departments are encouraged to make students aware of the Research Student Skills Programme. Identifying students in need of additional English language support and referring them to the appropriate University service when necessary.
- (c) The organisation of a research seminar or similar programme for research students and staff according to practice in the discipline including opportunities for students to present their work to other members of the department.
- (d) Providing students with the opportunity to give feedback on their experience at the University, including through the establishment of a SSLC for research students or representation on a Postgraduate SSLC.
- (e) Within the resources available to the department and elsewhere in the University, giving current students access to adequate study space, equipment, library and computing facilities to pursue their research successfully and bringing any serious deficiencies to the notice of the appropriate University body. It is recognised that the facilities made available to students in different departments will vary depending on the resources available to the department, its policies on allocation of resources and the needs of the academic discipline.

Monitoring Procedures

Academic departments are responsible for:

- (a) Establishing and operating clearly documented monitoring procedures for research student progress, including feedback to students on their progress, which are consistent with University and external funding body policy and which are well-understood by both staff and students. Such monitoring

procedures should comply with the *Good Practice Guide on Monitoring Student Attendance and Progress*.

- (b) Maintaining a record of student progress in the departmental student file. It is expected that departments should have established systems to ensure that the frequency and length of supervisory meetings with postgraduate research students are recorded, noting that PGR supervisory meetings are expected to be held at least once a month.
- (e) Ensuring that the departmental student file contains a record of the student's attendance at compulsory training sessions or seminars and a full note of the outcome of any upgrade or review and of any difficulties experienced by the student which may affect the progress of their research programme. Student files, whether physical or electronic e.g. via the Tabula platform should be maintained for the duration of the student's registration at the University and should not be solely reliant on copies of email correspondence between supervisor(s) and the Student. Students should also be given the opportunity to record their own activities, through personal development plans and/or individual web pages.
- (f) PGR students are normally responsible for filing reports after a supervisory meeting recording discussions and any relevant action points, with supervisors confirming the content of these reports are accurate before adding to a student's file. There are no expectations as to length or format of these reports and departments may wish to develop standard forms to record such information.
- (g) The Graduate School will operate a process whereby there are spot checks to ensure that academic department's operations in relation to recording students' progress and monitoring are aligned with the University's *Guidelines on Supervision and Monitoring*.
- (g) Encouraging students to begin work on the research project at the start of the period of registration. The early submission of a piece of written work will help to identify any areas in which further training or development is needed. Departments may wish to require the submission of a formal piece of written work within the first six months of registration.
- (h) Arrangements for upgrade from MPhil to PhD registration.

Unless there is prior approval from the Chair of the Board of Graduate Studies, PhD students within the faculties of Arts, Medicine and Social Studies will be registered for the degree of MPhil initially and will be upgraded to PhD registration subject to satisfactory performance. Additionally, a number of Science departments have adopted a MPhil/PhD model of registration although this is not applied across the whole of the faculty as of September 2012. The Departmental Director of Graduate Studies or Chair of Department is required to recommend the upgrade of a student's registration to the Graduate School. Upgrade to PhD registration is normally expected to take place within the first 9-12 months of registration for full time students, and 18-24 months for part-time students. Should a student fail their first attempt at upgrading they shall normally be afforded a second opportunity to upgrade, noting that this should be held within six months of their initial upgrade (one year for part-time students). Where an upgrade is scheduled at the same point of the year as the annual review would be held there is no need to hold the latter.

Upgrade of registration should not be recommended until a student has completed a review as set out below.

Regulation 38.9 describes the appeals process that can be initiated by a student if a department makes a recommendation that he/she be allowed to continue his/her registration only for the degree of MPhil or be required to be withdrawn.

- (i) Annual reviews of Student Progress
 - i. The University considers the aim of an annual review to be:
 - a) To ensure that a Student's work and progress to date is satisfactory and in line with the Department's expectations;
 - b) To identify any barriers to a student submitting their thesis for examination within their registration period;
 - c) To offer support and guidance to enhance the quality of a student's work and experience at Warwick;
 - d) To identify areas of ongoing professional development;
 - e) To ensure that effective support structures are in place, including a strong student-supervisory relationship.

The University expects that all students undertake an annual review throughout the period of their registration; the first will be held in the initial 9 – 12 months of the student's registration (and part-time equivalent) and every year thereafter.

- ii. In instances where a student is initially registered on a MPhil/PhD qualification, the MPhil upgrade acts as the first annual review.
- iii. Departments may schedule additional progress reviews at other intervals of a student's registration noting that the frequency of these should be highlighted to students within course guidelines and student handbooks.
- iv. In the final year of registration (4th year for full-time PhD students), a review after six months should focus particularly on progress made in the writing up period and steps to be taken to submit within the student's registration period.
- v. Annual review and upgrade processes are also a useful point at which to assess ethical concerns and record ethical approval where appropriate, in line with guidance found on the University's *Research Governance and Ethics website* (http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics).
- vi. Students should be notified of the nature and form of the review. Departments are encouraged to advise students of the composition of the review panel well in advance. Students should be advised that they may, for good reason, request a change to the composition of the review panel in advance of its meeting and departments should have in place a clear procedure for the consideration of such requests.
- vii. Review Panels are expected to be physical meetings rather than a paper based exercise, although with the agreement of all concerned, attendees may attend through video-conferencing should it be necessary e.g. a student or staff member is temporarily located overseas on fieldwork.
- viii. Review panels should be composed of at least two members of staff not involved in the supervision of the student. Departments are encouraged to

consider the involvement of members of staff from cognate disciplines (for instance, involved in the same CDT) and/or individuals external to the University who can provide additional perspectives to the research.

- ix. It is expected that supervisors are involved in the annual review process, either by being present at the review, or by submitting a statement on student progress to date. There must be an opportunity for both student and supervisor to advise the review panel of any concerns or difficulties in confidence, and the review panel is expected to meet the student to discuss progress.
- x. Supervisors are expected to be involved in the annual review process and to submit a statement on student progress, highlighting any areas of best practice or concern in advance of the meeting being held. Departments may also ask supervisors to attend the progress meetings and if so, there should remain an opportunity for the student to make representations in-confidence to the Panel.
- xi. Any information available to the panel should also be made available to the student, including any report on progress submitted to the panel by the supervisor(s). The panel should normally reach a preliminary decision without further reference to the supervisor(s) but may feel it appropriate to discuss with the supervisor(s) its recommendation and any notes of guidance it is intended to issue to the student in advance of doing so. The supervisor(s) would not normally otherwise be involved in the review decision.
- xii. Review panels should consider the submission of a substantial piece of written work – the length and breadth of which should be stipulated within departmental guidelines. Should a supervisor not be able to attend the Review or the Department's guidelines do not permit supervisors to attend, a statement is expected to be submitted to the Panel noting the quality of the work submitted.
- xiii. This will be complemented by a student statement on their Professional Development (by students entering the University from 1 October 2017) of 300 words, and a timetable of expected further progress, as well as any other inputs the department deems necessary.
- xiv. Review Panels are expected to provide feedback to students on their annual review. Supervisors should also be informed of the outcome so that they can support the student. Panels should highlight areas of best practice and concern to the Student, and further advice and guidance to enable students to better undertake their research. Panels should also highlight areas where a student may benefit from further professional development. A formal note of the outcome of the review, including any notes of guidance given to the student, should be kept on the student's file.
- xv. Where progress is deemed unsatisfactory then the Department should consider the best way to provide further support to ensure that the student is able to succeed in their research. The student should be permitted to resubmit the piece of work or repeat the oral presentation within an agreed timescale. If the final outcome of the review is that progress is unsatisfactory this should be considered by a further member of staff not involved in the supervision of the student (e.g. the Director of Graduate Studies or Head of Department).
- xvi. Should a department conclude that, after providing further support and guidance and after a sustained period of poor performance, the student is

unable to fulfil the requirements of the degree for which they are registered, they may consider proposing that the student be permanently withdrawn via a Continuation of Registration Committee.

- (j) Putting in place procedures for monitoring progress during any period of fieldwork or study away from the University, in line with the *Guidelines for the Supervision of Research Students Based Away from the University*. This might include an expectation of regular contact with the supervisor, for example through email if meetings are not possible. The student may also be expected to submit regular brief reports of progress during the period of field work.
- (k) Departments are expected to monitor the progress of students nearing the end of their period of registration particularly closely so that the member of staff responsible for postgraduate research students is aware of cases where a student is likely to find it difficult to complete on time. The situation should be discussed with the student and supervisor to agree a plan to improve progress.

Unsatisfactory progress

Academic departments are expected to put in place procedures to deal with cases of unsatisfactory progress, in accordance with the *Good Practice Guide on Monitoring Student Attendance and Progress*. Departments may wish to base these on the guidelines below.

- (a) Unsatisfactory progress should be dealt with as soon as possible after it becomes apparent that a student is encountering difficulties. Supervisors are advised to keep a record of contact with the student and the outcome of supervision meetings if they have concerns about progress being made.
- (b) Initially, a student's supervisor should discuss the situation with the student and explain why progress is unsatisfactory. If there is an explanation such as ill health or personal difficulties, the supervisor should discuss the possibility of requesting a suspension. It may also be appropriate to refer the student to support services within the University or the Students' Union.

If there are no mitigating circumstances, the supervisor should attempt to identify the academic reasons for poor progress and agree with the student measures to improve progress and a plan of work to be done. A written record should be kept of any such discussion. The Director of Graduate Studies should be informed of a supervisor's concerns at this point if s/he has not already been involved.

- (c) If progress continues to be unsatisfactory by the time of the next deadline for review and there are no mitigating circumstances, the supervisor, Director of Graduate Studies and/or Chair of Department should discuss the situation with the student and set a further deadline for review of progress.
- (d) Should the situation not improve the department will wish to consider whether the student should be advised to withdraw or whether the department should recommend that the student's registration at the University be terminated (see University Regulation 36 in the University Calendar). A department may also wish to discuss with the student the possibility of submitting a thesis for the award of a lower degree.
- (e) If a department decides to recommend the termination of a student's registration as set out in Regulation 36 (Governing Student Registration, Attendance and Progress), the Director of Graduate Studies should seek

advice from the Graduate School. The student has a right to appear before the Continuation of Registration Committee and to appeal should the Committee uphold the recommendation requiring the student to withdraw. The department would also be represented before the Continuation of Registration Committee and at any appeal.

- (f) If a student is suspected of cheating as defined by Regulation 11 other than in work submitted for an upgrade or annual review or in the a thesis submitted for examination, the Director of Graduate Studies and/or Chair of Department should discuss the allegations with the student. A written record should be kept of the discussion. In the event that there is a further allegation of cheating in such work, the department may wish to deal with the matter under the Disciplinary Regulations, or recommend that the student's registration at the University be terminated on the grounds of unsatisfactory progress. In such cases the Department should seek advice from the Graduate School. If the allegation is made about work submitted as part of the upgrade process, annual review or in a submitted thesis, Regulation 11 would apply.

3. Responsibilities of Supervisors

Before agreeing to supervise a student, supervisors should satisfy themselves that they have the necessary knowledge and expertise to supervise the project which the student wishes to undertake, that the project is appropriate for the degree concerned and can reasonably be undertaken with the resources available and in the required timescale, and that they are confident, as far as is possible, that the student has the capacity to undertake the project successfully.

Supervisors are expected:

- (a) To give guidance about the nature of research and the standard expected, about the planning of the research programme, about literature and sources and the use of requisite techniques (including instruction where necessary) and to encourage students to keep aware of all relevant developments within the subject.
- (b) To discuss training requirements with students and recommend attendance on the Research Student Skills Programme or such other taught courses or specialist training as appropriate, beyond compulsory training provided by the department.
- (c) To draw the attention of students to all relevant University and departmental regulations and monitoring arrangements as well as any regulations attached to a scholarship or studentship held by the student. In particular, where a student is funded by a research council, supervisors should familiarise themselves with the relevant research council's requirements.
- (d) To give detailed advice on the necessary completion dates of successive stages of the work, agreeing objectives for each stage so that the thesis may be submitted within the scheduled time. It is important that students are made aware of the expectation that they should complete their thesis within the period of registration at the beginning of their research programme. Supervisors should discuss with students a likely submission date at the beginning of the last year of fee-paying registration.
- (e) To monitor the progress of students against the agreed plan for completion of their research programme and inform students if either their progress or the standard of their work is unsatisfactory. Supervisors are strongly recommended to maintain records of the frequency, length and outcome of

their supervisory meetings with students and copies of work submitted by the student and of the feedback given.

- (f) To liaise with the Director of Graduate Studies as appropriate with regard to the progress of individual students and to report on each student's progress in line with departmental procedures for monitoring progress.
- (g) To provide advice on writing up the work, requesting written work as appropriate and returning such work with constructive criticism and within reasonable time. The early submission of a piece of written work will help to identify any areas in which further training or development is needed, and supervisors may wish to require the submission of a piece of written work within the first six months of registration. To read through a complete draft of the thesis and provide detailed comments.
- (h) To maintain contact with students through regular supervisory meetings and other types of structured communication as appropriate, to ensure that meetings are largely uninterrupted and of adequate length. The frequency of such contact should be agreed between the student and supervisor at the start of the project and should be reviewed throughout the period of study. It is expected that these arrangements will vary depending on the stage which the student has reached in their project and on the nature of the academic discipline. As a guide to frequency of interaction, one such contact per month throughout the year is an expected acceptable minimum for full-time students. Supervisors may wish to agree a schedule of supervision meetings with each student at the start of each academic year. Supervisors should keep a note of any missed meetings.

Contact with part-time students will typically be less frequent than that with full-time students of the same discipline in proportion to the length of their period of study. Supervisors are expected to ensure that part-time students are aware of the frequency of supervisory contact and feedback that they can expect during their period of study.

- (i) To be accessible to students at other times by arrangement should advice on academic or personal problems be required. To refer students to the Senior Tutor's Office, Advice and Welfare Services or other University support services as appropriate.
- (j) To inform students should they plan to be out of contact for more than two weeks to allow students to plan accordingly.
- (k) To make appropriate contact arrangements/alternative supervision arrangements should either a supervisor or student be away from the University for more than a month, for example during study visits/leave, industrial placements or University vacations. Where the student is expected to be away from the University for the majority of their period of study the supervisors should ensure that appropriate arrangements are in place for the supervision of these students and that these arrangements are agreed with and communicated clearly to the student. The normal expectation is that such students can expect the same frequency of supervision as other comparable students within the department, recognising that the mode of supervision and provision of feedback may differ significantly.
- (l) To assist the student in development of personal transferable skills, as appropriate, through for example:
 - (i) Arranging for students to discuss their work at staff or graduate seminars.

- (ii) Encouraging and assisting students to publish the results of their research and to present it at scholarly conferences.
 - (iii) Encouraging students to participate in the Research Student Skills Programme.
 - (iv) Recommending to students, where appropriate, that they should undertake additional training in written or oral English language skills.
- (m) To respect the contribution and intellectual property rights of the student in external output of any form (e.g. publications, patents etc.) emanating from the research and ensuring that developments in regards to IP are in line with the University's IP Policy.
 - (n) To advise the Deputy Registrar's Office of cases where particular consideration may need to be given to the protection of intellectual property developed within a project. RIS is responsible for ensuring that students retain appropriate rights over the results of their research and that undue restrictions are not placed on access to the student's thesis by a research sponsor.
 - (o) To encourage the student to approach other workers in the field and appropriate academic bodies and societies.
 - (p) To advise students on matters of confidentiality or ethical considerations relating to particular techniques, sources or results.
 - (q) To ensure that the correct safety procedures are followed when using equipment or laboratory materials (full details on safety procedures are available from Departmental Safety Officers and from the University Safety Officer).
 - (r) To ensure that, should a major change in research direction occur, appropriate adjustments are made to the supervisory arrangements and, if necessary, to advise the Department's Director of Graduate Studies should the student's research lead in a direction which the supervisor is not equipped to supervise.
 - (s) To agree with the other supervisor(s) and with the student the respective responsibilities and roles of the different supervisors and to maintain good communication with the other supervisor(s) concerning the student's progress throughout the period of study.
 - (t) To recommend examiners for the student's thesis to the department in good time, normally at least one month before submission of the thesis, for proposal to the University, after discussion with the student to check that the proposed examiners have not had significant input into the project or a significant personal or financial relationship with the student.
 - (u) In cases where a thesis is referred for resubmission, if the candidate wishes, to advise on the necessary revisions in consultation with the internal examiner or examination advisor if necessary.

4. Responsibilities of Research Students

As candidates for research degrees, students are expected:

- a) To be familiar with and comply with the University regulations and departmental guidelines relating to their degree and the monitoring of progress and with the regulations for any studentship or award that they may hold. In particular, students should be aware of the requirements for the

award of research degrees as set out in University Regulation 38 and the additional Guidance for the Requirements of Award of Research Degrees.

- b) To discuss with their supervisor(s) the type of guidance and comment they find most helpful, and to agree from the outset of the project a schedule of meetings and other contact both during term-time and vacations for the prescribed period of study. As a guide to frequency of interaction, one such contact per month throughout the year is an expected minimum for full-time students
- c) To seek advice from their supervisor(s) in an active manner recognising that it is the student's responsibility to have their own topics to raise with the supervisor(s).
- d) To maintain the progress of the work in accordance with the stages agreed with the supervisor(s) and in accordance with departmental monitoring procedures, including in particular, the provision of well-presented written work within the agreed timescales for comment and discussion before proceeding to the next stage. The early submission of a piece of written work will help to identify any areas in which further training or development is needed.
- e) Normally, and in discussion with their supervisor(s) and in line with departmental policy, to author initial notes of meetings with their supervisor(s), to ensure mutual understanding of progress, action points and forward plans as necessary. Such notes should be reviewed by their supervisor and agreed by both parties.
- f) To take note of the guidance and feedback on their work provided by their supervisor(s) and to recognise that the supervisor's role is to offer advice on the academic content of the work and its general presentation and not to provide detailed correction of written English.
- g) To take note of advice from the supervisor and/or the department of additional training they may require and, in particular, to undertake further training in their English language skills where this is recommended.
- h) To inform the supervisor(s) of other individuals with whom the work is being discussed so that this may be taken into account when examiners are recommended for appointment.
- i) To contribute to the research environment of the department as appropriate by taking up opportunities to present work at departmental seminars etc. and by engaging in discussion with other researchers.
- j) To respect the contribution and intellectual property rights of the supervisor(s) in external output of any form (e.g. publications, patents etc.) emanating from the research, ensuring at all times that any such developments in regards to IP are in line with the University's Intellectual Property policy.
- k) To conduct their work at all times in accordance with University and departmental safety requirements and to follow ethical guidance provided by the department or supervisor(s).
- l) To raise, through the departmental Staff-Student Liaison Committee and Graduate Progress Committee (or equivalent) in the first instance, any general issues related to the resources and facilities available in the department which may affect the progress of research students.

- m) To inform their supervisor(s) in good time, should they plan to be away from the University or out of contact for more than two weeks.
- n) To provide an annual report to their academic department in line with review procedures.
- o) To take the initiative in raising problems or difficulties informally with the supervisor(s) in the first instance, however elementary they may seem, including any matters which may require a suspension of registration or will cause a delay in the expected completion date of the work.
- p) To accept a commitment to complete their project and submit their thesis in good time within the period specified by the University and, where ever possible, by the end of the period of fee-paying registration.
- q) To notify the University of their intention to submit their thesis, through completion of the form for the Submission of a Research Thesis and the Nomination of Examiners for Research Degrees, available from the Graduate School Office. Candidates should complete Part 1 of this form and pass it to their supervisor. The Head of the Department/School should then complete Part 2 nominating examiners for the candidate. The complete form should be returned to the Graduate School Office at least one month in advance of the date on which it is intended to submit the thesis.
- r) To decide when to submit the thesis taking due account of the opinion of the supervisor(s), which is necessarily only advisory and whose agreement to submission is not a guarantee of success. The supervisor(s) should be provided with a complete draft of the thesis in an agreed reasonable time to provide comment and feedback.

Guidelines for the Supervision of Research Students based away from the University

The University's *Guidelines on the Supervision and Monitoring of Research Degree Students* apply to all research students registered with the University. These are additional notes of guidance for departments who are considering applications from students based overseas or those based in the UK at a distance from Warwick who are not intending to visit the University on a regular basis or for long periods of time. This normally means students who would spend less than four weeks at the University for each 12 months during which they are registered, e.g. twelve weeks over the course of a normal 3 year PhD (see para. 2a below). Such students may not be able to attend the University because of employment or family responsibilities, or because of the nature of their research project or the facilities it requires.

1.
 - (a) It is assumed that where students in this category are unable to attend the University because of employment or family responsibilities they will register for a part-time research degree. Students will be charged the relevant part-time fee. If a department wishes to admit a student in these circumstances to a full-time course, this should be discussed with the Graduate School prior to any offer being made.
 - (b) Students may also be based away from Warwick for all or part of their studies because of the nature of their research project or to enable them to make best use of research facilities associated with the scholarship of their Warwick based supervisor. Such students may be registered either full or part time.
2. The Department's Director of Graduate Studies (or equivalent) should clarify the following points with the student prior to admission:
 - (a) The amount of time that the student will spend at the University over the period of study and the frequency of visits. The total amount of time spent at the University over the period of study should normally equate to no less than four weeks for each 12 months during which the student is registered at Warwick. However, this does not mean that the student should be required to attend four weeks of each year of registration. For example, a student on a normal 3 year PhD should be required to attend for at least 12 weeks over the whole course, but not necessarily for four weeks in each year of registration. Departments have the discretion to require a student to spend more time at the University. If a student is unable to meet this requirement, the department concerned should seek approval from the Graduate School for alternative arrangements, such as the supervisor visiting the student.
 - (b) The means and minimum frequency of supervisions. These should be at least monthly, in line with expectations set out in the *Guidelines on the Supervision and Monitoring of Research Degree Students*. Contact with supervisors for pastoral or other reasons may, of course, be required more frequently.
 - (c) In the case of overseas students, they should be advised to check visa requirements before reaching agreements over the frequency of visits to the University. The University's Immigration Service, based in the International Office can provide advice if necessary (immigrationservice@warwick.ac.uk).
3. Prior to admission the Director of Graduate Studies should also confirm that the student has access to adequate resources to support their study, including library and IT facilities and appropriate pastoral care.

4. At the point of enrolment an analysis of training needs should be conducted and arrangements made to ensure that the student has access to appropriate training (including research methods, any IT packages and generic skills) either when they are present at Warwick or elsewhere. A Department may require a student to attend training courses at Warwick. The student should be provided with copies of the Department's Handbook for Research Students and any other information given to students at registration.
5. Either the student or Department may wish to appoint a local supervisor or mentor. This is at the discretion of the Department where the student is to register. The following points should be considered before agreeing to this type of arrangement:
 - (a) The role of the local supervisor should be agreed by the Director of Graduate Studies and set out in writing prior to admission. Copies of the agreement should be sent to the student, Warwick supervisor(s) and local supervisor. All administrative responsibilities for the student's registration, monitoring and examination must rest with a member of Warwick staff. Appropriate remuneration for the input of the local supervisor, where applicable, should be discussed with the individual or institution where s/he is based and confirmed in writing and will be the responsibility of the department to pay.
 - (b) The Warwick supervisor is responsible for commenting on written work and drafts, including a full draft of the thesis prior to submission, as set out in the *Guidelines on the Supervision and Monitoring of Research Degree Students*. The supervisor(s) should make it clear to the student how long they can expect to wait before receiving feedback on written work and ensure that the student is aware of any deadlines for the submission of work for comment. It is particularly important that both students and supervisors inform each other if they expect to be out of contact for more than two weeks, as set out in the *Guidelines on the Supervision and Monitoring of Research Degree Students*.
6. The Department's standard monitoring arrangements apply to students based away from the University. The Director of Graduate Studies should ensure that students are aware of deadlines for the submission of work for annual reviews and inform students when their presence in the department is required for annual reviews, allowing reasonable time to make travel arrangements.
7. Departments should ensure that alternative arrangements made for the training and support of research students based away from the University will not adversely affect any Research Council recognition held by the department or unduly harm their chances of securing RC funding. In discussing a potential application departments should clarify with the student the disadvantages of not being able to participate in regular events held on campus, such as departmental research seminars, reading groups or day-seminars. Such students are less likely to be in a position to secure teaching during their course, and it is possible that supervisors will have less knowledge on which to base references.
8. In the event that a department wishes to establish a more formal link with an institution overseas for the supervision of research students, this is subject to the *Procedures for the Approval and Monitoring of Collaborative Courses*. A formal proposal should be submitted for consideration by the Board of Graduate Studies and the Collaborative, Flexible and Distributed Learning Sub-Committee.