

SGUL Core Code of Practice for Research Degrees

1 Introduction

- 1.1 This Core Code details the policy of St George's, University of London on aspects of good practice, particularly in relation to the supervision of research students, and should be read in conjunction with the *Research Degree Regulations, University General Regulations, Research Degrees Student Handbook* and any additional guidelines produced by Research Institutes or the Education Institute.¹ The Code is intended to provide research degree candidates and supervisors with guidance about the research degree process and to assist the Research Degrees Committee to establish good management and academic practice.
- 1.2 The supervision of research students is affected by many factors, such as the individuals involved, the type of work and the discipline, the size of the research unit and the environment in which supervisors and students work. Some variation across SGUL is therefore inevitable. Institute and Research Centre practice may, of course, supplement the Core Code, but may otherwise deviate from it only to the extent compatible with the aims set out below (*paragraph 2.1*).

2 Aims and Objectives

- 2.1 The aim of this Core Code is to ensure that all research students at St George's, University of London are effectively and closely supervised so that the full potential of their research training may be achieved and their research completed within the prescribed period of study (*see paragraph 3.1*). SGUL is committed to providing research students with a high quality research environment and student experience. This shall include appropriate equipment, training opportunities, as well as specific local needs.
- 2.2 The objective of this Core Code is to establish a set of standard procedures for all Institutes and Research Centres to be based upon common structures and a definition of specific responsibilities on the part of all those principally concerned. The Core Code is reviewed annually by Research Degrees Committee and the latest Code should be considered as in operation. The Code is compliant with the requirements of the Quality Assurance Agency *UK Quality Code for Higher Education – Chapter 11: Research Degrees*, published in May 2018.
- 2.3 The establishment of a successful research team is promoted by good communication between the research degree student and the supervisory team and by an awareness, in both parties, of their respective responsibilities with respect to each other and the University. These responsibilities are summarised in the Appendix to this Code:
- Section A: Responsibilities of the Student
 - Section B: Responsibilities of the Supervisors
 - Section C: Responsibilities of the Head of the Research Institute/Faculty

¹ The term 'research student' refers to any student undertaking a research degree programme, MPhil, PhD, MD and MD(Res). Explicit reference to an individual programme will be made as necessary, otherwise the Code applies to all research degree programmes.

- Section D: Responsibilities of Research Degrees Committee

3 Timetable for Completion of Studies: MPhil/PhD and MD(Res)

3.1 The *Research Degree Regulations (see paragraph 2.2)* state the minimum and maximum periods from initial registration for research degrees²:

<u>Category</u>	<u>Minimum</u>	<u>Maximum</u>
<u>MPhil</u>		
<u>Full-time</u>	<u>18 months</u>	<u>36 months</u>
<u>Part-time</u>	<u>30 months</u>	<u>48 months</u>
<u>PhD</u>		
<u>Full-time</u>	<u>24 months</u>	<u>48 months</u>
<u>Part-time</u>	<u>48 months</u>	<u>84 months</u>
<u>MD(Res)</u>		
<u>Full-time</u>	<u>12 months</u>	<u>24 months</u>
<u>Part-time</u>	<u>24 months</u>	<u>36 months</u>

3.2 Notwithstanding the maximum period of registration of four years for a full-time student, and seven years for a part-time PhD student, stated in 3.1 above:

- Full-time PhD students are expected to submit their thesis within a period of three years. Students have one further 'writing up' year (if required) to finalise their thesis, but are required to have submitted within the maximum four years. Students are expected to complete and have undertaken the oral examination within the first six months of this additional fourth year.
- Part-time PhD students are expected to submit their thesis within a period of six years. Students have one further 'writing up' year (if required) to finalise their thesis, but are required to have submitted within the maximum seven years. Students are expected to complete and have undertaken the oral examination within the first six months of this additional seventh year.
- Full-time MD(Res) students are expected to submit their thesis within a period of one year. Students have one further 'writing up' year (if required) to finalise their thesis, but are required to have submitted within the maximum two years. Students are expected to complete and have undertaken the oral examination within the first six months of this additional second year.
- Part-time MD(Res) students are expected to submit their thesis within a period of two years. Students have one further 'writing up' year (if required) to finalise their thesis, but are required to have submitted within the maximum three years. Students are expected to complete and have undertaken the oral examination within the first six months of this additional third year.

3.3 Assessment of progress for all research students will be made every six months in a formal meeting between the student and all members of the supervisory team, with monitoring form

² A defined maximum period of registration, with a process for extending the period of registration, came into force for students entering from October 2013.

completed for submission by 1 April and 1 October each year. A record of the meeting, taking the form of a report on research progress and future expectations, must be kept and a copy sent to the Graduate School (Registry). Progress reports should address the students' progress, with respect both to the research project plan and his/her Graduate School Skills Analysis (GSSA). The progress reports will be sequential and students and supervisory teams will be required to state progress against formal milestones, notably: entry to the formal successful transfer of registration from MPhil to PhD (9-12 months) and a Thesis Completion Plan (30 months) or equivalent for part-time and MD(Res) students. The six-monthly progress report form can be found on Canvas or on request from the Graduate School.

- 3.4 More detailed timetables for part and full time PhD and MD(Res) students can be found in the *Research Student Handbook* and on request from the Graduate School.
- 3.5 Candidates for the part-time MD(Res) degree are normally expected to spend at least eight sessions a week on research.

4 Admission to a Research Degree Programme and Supervision

- 4.1 Admission to SGUL as a research student is governed by the overarching *University Admissions Policy*, which is updated annually and the *Research Degree Regulations*. All prospective students who apply to SGUL to undertake research studies should normally be interviewed prior to admission and registration. Selection should be face to face wherever practicable, but interview via teleconferencing or similar may be possible for international student interviews. For MPhil/PhD applicants, the interview is mandatory. The interview panel will normally include the proposed supervisory team and must include external representation from the Research Degrees Committee, normally drawn from one or more of the following: the relevant Institute Postgraduate Coordinator, Head/Deputy Head of the Graduate School or any other member of Research Degrees Committee. The interview is expected to address the following: academic background, outline programme of work, resources identified for the research, appropriateness of supervisory team, research culture and environment, and nature and expectations of collaboration (if appropriate).
- 4.2 The proposed lead academic supervisor should obtain the approval of his or her Head of Institute and the Institutional/Faculty Postgraduate Co-ordinator before the completed application form and two academic references are submitted to the Research Degrees Committee for approval. The Research Institute in which the student is placed is responsible for providing supervisory arrangements that should reflect the nature of the work concerned and the student's needs. These arrangements are overseen by the University's Graduate School.
- 4.3 Research Degrees Committee upholds a 'Licence to Supervise' policy in order to promote the highest standards of supervision. This policy is managed by the Graduate School, and monitored by Senate. All Lead Supervisors must possess and maintain a 'licence' in order to supervise a research degree student. Criteria exist for holding a licence, which includes continuing professional development in supervision, in addition to a successful track record in ensuring that students have completed successfully within the maximum registration period.
- 4.4 Each student is allocated a supervisory team before registration, and additional supervisors may be nominated at any time as necessary. A second supervisor is mandatory whilst a third supervisor maybe required under certain circumstances. At least one of the main supervisors must have expert knowledge of a student's subject area and the approach to be applied. The second supervisor need not necessarily be a specialist in the area of research under study, but

should be of sufficient academic standing to contribute meaningfully to supervising the student's research. The second supervisor may be external to SGUL.

- 4.5 The lead supervisor will carry the main supervisory workload and will have lead responsibility for the pastoral care of their students but second supervisors should play a significant part in the student's supervision. Second supervisors can assume a number of different roles, and it is therefore recommended that lead and second supervisors agree in outline the part each will play at the outset and this should be detailed on the application form. Second (or third) supervisors are not required to possess a 'Licence to Supervise' but are encouraged to seek a licence in the same way as lead supervisors. Some roles for second supervisors that should be considered are:
- To stand in during the lead supervisor's absence.
 - To provide complementary expertise that is required for the project. In this case a second supervisor may have a more significant supervisory role.
 - To provide a second opinion on the research topic.
 - To provide additional pastoral support for the student, particularly if difficulties arise with the lead supervisor.
 - To provide supervisory advice for first time lead supervisors.
 - To obtain supervisory experience under the tutelage of a more experienced supervisor.
- 4.6 The Head of the Institute/Faculty, or his/her delegate, is responsible for ensuring that staff who supervise students on research degrees are trained and informed about the processes of supervision and progression. Attendance of supervisory training will be kept by Human Resources, and monitored by the Graduate School through Research Degrees Committee, in order to ensure SGUL supervisory training requirements are maintained. All staff are encouraged to refresh and reflect on their practice by attending the continuing professional development (CPD) activities offered by Human Resources (and the Graduate School) and experienced supervisors should attend a formal refresher session once every three years.
- 4.7 For MD(Res) students, two supervisors must be appointed before registration with St George's, University of London. At least one of the supervisors should be a full-time member of academic staff of the status of senior lecturer or above or a person holding an honorary senior lecturer contract at SGUL.
- 4.8 The student's topic for research should normally have been agreed prior to registration, and no later than one month after registration or the completion of any required qualifying study and/or examination. Arrangements for any qualifying study must be agreed before the commencement of the course of study.
- 4.9 Each student should be formally notified at the commencement of his/her studies that the Research Degrees Committee has responsibility for monitoring research student progress.
- 4.10 Where a supervisor is to be away for more than one month, they should inform the student, the Head of the Institute/Faculty and the Institute/Faculty Postgraduate Co-ordinator so that appropriate arrangements for cover can be organised. This also applies in the case of unplanned absences.
- 4.11 Where a change or replacement of supervisor is required, this should be organised by the Head of the Institute/Faculty and the Institute/Faculty Postgraduate Co-ordinator. The proposed change should be reported to the Research Degrees Committee for approval.

5 Registration, enrolment and attendance

5.1 Following a decision to accept a candidate by Research Degrees Committee, an offer letter will be sent out confirming the terms and conditions of the offer. The offer will include as a minimum: the level of fees, bench fees (if appropriate), the names of the student's supervisory team (minimum of the lead supervisor), length of programme and target submission and completion dates. The offer letter will be copied to all relevant staff so that all necessary administrative processes can be put in place, both within Registry and within the student's immediate working environment.

5.2 Start dates for postgraduate research degrees are the beginning of October, January and April. On enrolment, the following information will be made available to students, as a minimum:

- *SGUL General Regulations and Research Degree Regulations;*
- *SGUL Code of Practice for Research Degrees;*
- *Research Degrees Student Handbook*

Other documentation may be signposted at the point of Induction or through the *Research Degrees Student Handbook* or online.

5.3 Full-time students will be expected to undertake a full working week on their research degree. Agreement should be reached with part-time students at the start of their registration on the proportion of time they will be spending on their research degree. It is very important that students are registered on the correct mode of attendance at the start of their programme. This means that they should be registered on the mode of attendance that is appropriate to their circumstances rather than on what might be their preference.

5.4 Students should agree their holiday periods, normally between a minimum of four weeks and up to a maximum of eight weeks per year inclusive of public holidays and university closure days, with their supervisor. Excessive absences would be reported to the Postgraduate Coordinator in the first instance, and also formally reported through the progress monitoring procedures (*see paragraph 8.1.1 and 8.1.2*).

5.5 Backdated registration will not be permitted. Applications must be made to the Research Degrees Committee in advance of one of the proposed start dates (October, January and April) and a timetable of closing dates and Committee meetings is shown in the current Supervisory Handbook.

5.6 All students must re-enrol at the beginning of each academic year whilst studying for a research degree.

6 Induction and Training

6.1 All research students are required to attend an induction programme provided by the Graduate School (available in October, January and April of each year). The Induction Programme should enable new students to begin productive work as soon as possible, and will also allow a formal setting to present to students the regulations concerning their studies. Topics will cover:

Introduction to SGUL, including its research portfolio;
Information Technology Skills;
Health and Safety;
Legal and ethical contexts of research and relevant regulations and policies;

Policies and procedures relating to Intellectual Property Rights;
Supervisory arrangements, including agreement of frequency of meetings;
Training opportunities;
Guidance and support in case of difficulty;
How to meet other research students and staff;
Opportunities for student representation;
Introduction to Postgraduate Coordinator;
Student support and welfare structures

- 6.2 All research students may also require additional specific arrangements in order to be inducted into working practices within specific working environments in a Research Centre and/or Institute. The student's Lead Supervisor must ensure a local induction takes place in a timely way at the start of the student's research degree programme and record it on the student's Graduate School Skills Analysis form (GSSA).
- 6.3 All students are required to satisfy SGUL's standards for proficiency in the English language as specified in the admissions policy. However, if after arrival, it becomes evident that the student's English, despite meeting SGUL's minimum requirements, is not satisfactory, they may be required or recommended to undertake English language tuition and a timetable for this should be agreed between student and supervisor(s).
- 6.4 Irrespective of a student's funding source, SGUL upholds the Research Council's *Statement of Expectations for Doctoral Training (revised September 2016)*, whereby students are required to demonstrate that they are acquiring professional and transferable skills.
- 6.5 All students must attend those sessions of the Graduate School Skills Programme identified as requirements from their Graduate School Skills Analysis (GSSA) and document their achievement of these competencies in their portfolios. This course will cover IT skills, library usage, computing, statistics, data protection, presentation skills, research governance, intellectual property, research ethics and writing skills. It is expected that supervisors will support the training requirements of their students. The GSSA should be reviewed at the upgrade to PhD stage and any gaps identified.

7 Teaching Activities

- 7.1 In cases where full-time students are asked to assist with undergraduate teaching activities (such as demonstrating laboratory practicals, marking and assisting with tutorials), their responsibilities must be clearly defined, set out in writing, and be compatible with their research responsibilities.
- 7.2 Students should not be routinely supervising undergraduate or postgraduate taught student projects without written approval from the Head/ Deputy Head of Graduate School or their Institute's Postgraduate Coordinator.
- 7.3 Where students are teaching on an agreed basis, students should be fairly paid for this work and should record all teaching activities in their portfolios. Teaching commitments should not total more than six hours per term week, excluding preparation and marking.
- 7.4 It is recognised that some candidates for the MD(Res) degree and some part-time students are teachers within the University.
- 7.5 All students must be provided with appropriate training before commencing any teaching.

8.1 Monitoring and assessment of Student Progress

8.1 Regular Review of progress

- 8.1.1 Progress reports will be required from MPhil/PhD and MD(Res) students every six months (*see paragraphs 3.3 and 3.5*).
- 8.1.2 Where a progress report is judged unsatisfactory and there is the possibility of the termination of a student's registration, they will be given the opportunity to make a representation to the Chair of the Research Degrees Committee and the matter will be progressed in accordance with the University's *General and Research Degree Regulations* relating to the *Procedure for Consideration of Fitness to Study and Practise*.

8.2 Transfer of Registration from MPhil to PhD, or MD(Res) to PhD

- 8.2.1 Students aiming for an MPhil or PhD, whether full-time or part-time should be registered, initially, for the degree of MPhil. If they already hold such an award or equivalent registration straight to PhD will be considered by Research Degrees Committee.
- 8.2.2 Transfer of registration must take place between nine and twelve months after registration and be completed by twelve months, for all students. However, part-time students may take up to eighteen months but should inform the Research Degrees Committee if this is required. If a student has not transferred by eighteen months after registration, this will be reported to the Research Degrees Committee. The lead supervisor will be required to outline the reasons in a report, and detail the remedial action that has been taken, future plans and an alternative timeline to ensure that the student submits for examination within the permitted time frame for their mode of attendance.
- 8.2.3 Transfer of registration must be recommended to the Research Degrees Committee by the supervisor(s) and approved by two independent examiners on the required form. The process of assessment should be implemented by means of a transfer report outlining the work accomplished so far and the programme of further work planned for the thesis. Oral presentations of the work that has been completed may be useful in the assessment.
- 8.2.4 The transfer report, which is based on guidelines produced by the Research Degrees Committee, is read by two examiners, who must not be involved in the project and whose appointment as examiner is agreed with the Postgraduate Co-ordinator within the Institute/Faculty. Only in exceptional circumstances, should both examiners be members of the same Research Centre as the student. The Postgraduate Co-ordinator must also approve the student's portfolio before the transfer examination takes place.
- 8.2.5 In the event of a transfer of registration not being approved, the student will be given an opportunity to re-submit an application at his or her discretion at such time as shall normally be subject to the agreement of the supervisor. If the application to transfer is again refused on this second occasion and the student is not satisfied with the decision that they remain registered for an MPhil (or MD(Res) as appropriate) and submit for that degree, they may appeal in writing to the Secretary & Academic Registrar, and also notify the Chair of the Research Degrees Committee in line with the policy stated in the University's *Research Degree Regulations* (*see section 17 of Research Degree Regulations*).

8.2.6 In instances where candidates for the MPhil/PhD degree transfer to the MD(Res) degree, or vice versa, the students concerned should apply to the Research Degrees Committee for a change of registration in the normal way.

8.3 Transfer to 'Writing up'

8.3.1 When a student has completed data collection and research required for the PhD, s/he may be transferred from full or part student status to 'writing up' registration. Transfer to writing up registration is not an automatic right.

8.3.2 The maximum period permitted for the writing-up registration period for both full and part-time students is one year. Students must not be allowed to continue on the writing-up status beyond this period. If a student does not submit within the one year allowed for writing-up but is permitted to continue their degree, they must be transferred back to full or part-time status and charged the appropriate fee.

8.3.3 If it is permitted, transferring to writing-up will normally take place after a period of approximately three years' full-time registration (or part-time equivalent). Should the transfer to writing-up take place later than the three years' full-time registration point (or part-time equivalent), the student will not be entitled to the full year usually permitted for writing-up. In this instance, the required submission deadline will come before the end of the writing-up year and must always take precedence.

8.3.4 The procedure to move a student from full or part-time status to writing-up will include the submission of a Thesis Completion Plan, supported by their Lead Supervisor, supervisory team and Postgraduate Coordinator, at the point of 30 months for a full-time PhD student (or equivalent for part-time) and completion of the 'transfer to writing up status' form. The Chair of the Research Degrees Committee will approve the request if they deem that the student is ready to transfer to 'writing up' and can demonstrate that they will submit within the required submission deadline timeframe. For MD(Res) students, this must take place at the point of 12 months for a full-time MD(Res) student and 24 months for a part-time MD(Res) student.

8.3.5 Progress during the period of writing-up must be monitored by use of regular reports. Extensions to the writing-up period will only be considered under exceptional circumstances and will require a suspension of regulations.

8.3.6 A student who has transferred to 'writing up' status may be admitted to a laboratory and be given use of SGUL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. This admission and use, however, will be on the condition that this does not significantly interfere with the use of the laboratory or equipment by other SGUL students and staff, or incur additional expenditure. The student's lead supervisor will be responsible for making any arrangements required to comply with this condition. In the event that admission or use is declined, s/he will have the right to appeal to the Head of Graduate School., who shall consult with the student's supervisor and the Director of the relevant Research Institute.

8.3.7 A student who does not submit a thesis before the end of the 'writing up' period and/or who reaches the maximum period of registration would need to apply for an extension to the registration period through a written request to the Research Degrees Committee. This should come from the supervisory team and provide sufficient justification for the request (noting that it might not be granted and the student would be deregistered at this point).

8.4 Interruption

- 8.4.1 Section 3.1. states that students will be made aware they will be expected to complete their programme within the period of study set out in the regulations, however, under certain circumstances changes to a student's registration may occur.
- 8.4.2 All interruptions and extensions must be normally be agreed in advance, using the relevant University form, or as soon as possible by the Chair of the Research Degrees Committee, and reported to Research Degrees Committee for information.
- 8.4.3 Interruptions to the course of study may be permitted for a number of reasons: long periods of illness (in excess of thirteen weeks), maternity/paternity leave, personal and family reasons.
- 8.4.4 Circumstances where interruptions will not normally be permitted include change of research topic, lack of progress, temporary lectureships, exchange visits or time spent in industry, voluntary service overseas, expeditions or sport, taking up full time employment. In addition, absences for relevant training do not lead to an interruption or change to the submission date. Also, teaching or demonstrating does not provide cause for an extension to the submission date.
- 8.4.5 In the case of illness or injury the student should notify his or her supervisors immediately and if absent for more than one week should arrange for a medical certificate to be forwarded to the Senior Postgraduate Officer (Research Degrees). Return from such absences must be similarly reported.
- 8.4.6 For maternity leave, six months' interruption will be approved automatically and, if required, the date of submission extended. A further six months' leave may be applied for and again the date of submission will be extended if necessary. Total maternity leave must be taken consecutively and should not exceed twelve months. With regard to paternity allowance, a total of ten days leave will be approved automatically (the date of submission will not be extended). A further thirteen weeks within twelve months of the birth may also be taken (or as permitted by government legislation) and the submission date will be extended if required.³
- 8.4.7 A maximum of 24 months of interruption of study may be permitted during the student's period of study. However, students will not normally be permitted to interrupt their studies for more than twelve months at any one time. Maternity leave is not counted towards this maximum period but should be accounted for in the same manner.
- 8.4.8 A student's submission date should be extended by the length of any approved interruption.
- 8.4.9 Any interruption related to Covid-19 whether due to illness, caring responsibilities or front-line work, will automatically be granted and will not count towards the maximum 24 months interruption of study.

8.5 Extensions

- 8.5.1 Any request for an extension to the maximum period of registration must be made 3 months in advance of the deadline. Retrospective extensions will not normally be granted. An

³ For students in receipt of funding during their research degree, details of what maternity/paternity leave and/or pay allowed by the relevant funding body may differ and the terms and conditions of the award should be consulted.

extension is when a student's registration period is extended beyond the original deadline as set out in the University *Research Degree Regulations*. The maximum registration periods are set out in section 2.2 of the *Research Degree Regulations*, and set out additionally within *paragraph 3.1* of this *Core Code of Practice for Research Degrees*. Changes to arrangements to 'writing up' periods came into force for those students registering after October 2012.

- 8.5.2 In all cases of medical/health problems, medical certificates must be provided by the student, noted by the supervisor and kept on student file for future reference where required. Without supporting documentation, an extension may not be granted. If a student experiences ongoing medical/health problems throughout their research but chooses not to take an interruption, information must be kept on file in case an extension to their submission deadline is required nearer the time. Students and supervisor should ensure this documentation is provided.
- 8.5.3 Extensions on the basis of financial reasons will not be considered, unless the circumstances of the individual case are deemed extreme enough and beyond the student's control. These instances will be treated on a case by case basis, and discussed between the Head / Deputy Head of Graduate School, and the Academic Registrar.
- 8.5.4 Where a student has experienced problems with their supervisor(s), the Head of the appropriate home Institute for the student should resolve the issue as quickly as possible. Only in extreme cases, should these circumstances result in an extension being sought.
- 8.5.5 Taking up full-time employment during the writing up period will not be deemed a valid reason for granting an extension.
- 8.5.6 Additional requirements and steps may be required if the student is in receipt of Research Council funding.
- 8.5.7 In order for an extension to the maximum registration period to be agreed, the University's *Procedure for consideration for an extension to a maximum period of study* must be sought.
- 8.5.8 Where students are permitted an extension to their maximum period of registration, it will be permitted on the basis of a new submission deadline for the thesis. Circumstances in which a student's registration period is extended would normally be on account of illness or personal difficulties. Poor planning or lack of academic progress would not, for example, be accepted. Applications from students who are approaching or who have exceeded their original submission deadline and where there is no strong reason, for example, lack of organisation, planning or progress, will normally have their registration terminated. However, exceptionally and alternatively, a student may be permitted to remain registered and submit late within an approved period. In these circumstances, the original registration period will remain the same, and the student will count as a late submitter.

9. Submission of Thesis and Examination

- 9.1 Details of the requirements for the submission of the thesis are given in the *Research Degree Regulations*. In order to enter for the examination of a research degree, students are required to submit an examination entry form a **minimum of** four months in advance of their submission date. Once the thesis is completed, the thesis must be presented, copied, and bound in accordance with the guidelines set out in *Research Student Handbook*, and submitted to the Graduate School (Registry) who will ensure it is sent to the examiners.

- 9.2 It is the responsibility of SGUL to ensure the examination is conducted fairly, in accordance with the regulations and that the standards of the research degrees they award are upheld.
- 9.3 For all students entering the research degrees examination process after 1 October 2013, an independent chair will be appointed for each oral examination (viva) (*see paragraph 13.7 of Research Degree Regulations*). The Chair is responsible for: chairing the examination; ensuring with the examining team, before the viva, the prioritisation of the issues to be discussed; ensuring that the nature of the questioning is appropriate and fair and that the student is given every opportunity to respond to the questioning; ensuring that each external examiner has a full opportunity to raise all the issues he or she wishes; ensuring that the viva proceeds in an orderly manner and is completed in good time; advising the external examiners on the interpretation of the university's regulations; leading the panel through the decision process; informing the candidate of the recommendations of the panel and making sure that they is aware of any future actions and that any requirements are given to the student in writing; ensuring that follow-up actions are understood by all; forwarding notification of the outcome to the Graduate School. In exceptional or unforeseen circumstances, as an alternative or as an addition to an independent chair, and with the agreement of the candidate and examiners, a recording of the oral examination may be made as an objective record of the examination.
- 9.4 The grounds for appealing the outcome of formal transfer reviews and the final examination are set out in the *Research Degree Regulations* section 17.

Appendix: Roles and Responsibilities

Section A: Responsibilities of the Student

- 10.1 To confirm that, subject to satisfactory progress, financial support (both personal and for fees) will be available at least for the length of time normally required to complete.
- 10.2 To ensure that tuition fees are paid each year whether the student or his/her sponsor pays these fees.
- 10.3 To discuss with the supervisors the type of guidance required and agree a schedule of meetings.
- 10.4 To take the initiative in raising problems which have arisen in the work.
- 10.5 To maintain the progress of the work in accordance with the schedule for completion, in particular the presentation of written material, in sufficient time to allow for comments and discussion.
- 10.6 To decide with the supervisors when to submit the thesis, which, whenever possible, should be as soon as possible after finishing the research work.
- 10.7 To acquaint themselves with and observe the SGUL and Institute/Faculty Codes of Practice in relation to the Health and Safety at Work Act and all relevant SGUL and University regulations, including the *General Regulations*, *Research Degree Regulations* and *Procedure for Consideration of Fitness to Study or Practise*.
- 10.8 To behave with honesty and integrity, and to take responsibility for the quality of the work being carried out.
- 10.9 To maintain adequate records of the progress of the work and of the development of the project.
- 10.10 To make appropriate use of teaching and learning facilities made available by SGUL.
- 10.11 To act as a responsible member of SGUL's academic community.
- 10.12 To attend the Graduate School Skills Programme and document achievement of research competencies in the portfolio.
- 10.13 To keep the supervisors informed of any changes in personal circumstances which might affect the progress of work.
- 10.14 To inform the supervisors and the Graduate School (Registry) staff of any change of contact details.
- 10.15 To maintain regular contact with the supervisors throughout the period of research study. It is not the supervisors' job to pursue the student.
- 10.16 To recognise their responsibility for developing personal career goals and to consider possible career options, both inside and outside academe.
- 10.17 To approach the Institute/Faculty Postgraduate Coordinator, the Head of Institute/Faculty or the Chair of the Research Degrees Committee if a problem cannot be resolved with the supervisor(s). A student should not let a serious problem go unattended.

Section B: Responsibilities of the Supervisors

(Clarification on the role of the second (and third) supervisor is provided in 4.5)

- 11.1 To adhere to the 'Guidelines for supervisors of research students' in the *Research Degrees Supervisors Handbook*. The *Research Degrees Supervisor Handbook* provides a guide to assist those with responsibilities for supervising and supporting postgraduate research students.
- 11.2 To ensure (if a lead supervisor) that they fulfil the appropriate requirements to possess a 'Licence to Supervise', notably having attended the mandatory training programmes, 'Introduction to Research Degree Supervision' for new supervisors, and 'Best Practice in Research Degree Supervision' for experienced supervisors. All supervisors are required to familiarise themselves with the University's *Regulations for Research Degrees* and this *Code of Practice for Research Degrees*.
- 11.3 To assess the feasibility of the proposed project. This includes the provision of all clinical and research material and equipment required or sufficient funds to purchase them.
- 11.4 To take all reasonable steps to ensure the applicant is qualified for acceptance including competence in the English language. Students, whose first language is not English, will be required as a condition of entry to provide documentary evidence of competence in English.
- 11.5 To obtain the approval of the Head of Institute/Faculty, the Institutional/Faculty Postgraduate Co-ordinator and the Research Degrees Committee for acceptance of the student. This would normally have been preceded by the supervisor being on the interview panel.
- 11.6 To introduce the student to the Institute (and its Research centre(s) as appropriate), facilities, procedures, to the Institutional/Faculty Postgraduate Coordinator and to other research students and staff to enable him or her to play a full part in the social and intellectual life of the Institute and University.
- 11.7 To give accurate guidance about the nature and planning of the research and the standard expected, about literature and sources, attendance at taught classes (if appropriate), about requisite techniques (and access to training where appropriate) and about the problem of plagiarism.
- 11.8 To maintain contact through regular meetings to be scheduled after discussion with the student concerned and to keep records of key meetings and to recognise that the student may require assistance or advice at short notice and be willing to make time to do so.
- 11.9 To ensure that the student's attention has been drawn to SGUL and Institute/Faculty Codes of Practice in relation to the Health and Safety at Work Act and to be responsible for the student's safety.
- 11.10 To ensure ethics approval has been obtained in line with SGUL procedures.
- 11.11 To make the student aware of the implications for the research project of patent law, intellectual property rights, implications of research misconduct and public engagement.
- 11.12 To take particular care with regard to overseas students who, in the early stages, may need very frequent contact and advice. The assistance needed may include help with language problems and advice about language training where necessary.

- 11.13 Supervisors should be aware of the reporting responsibilities the University has in respect of overseas students on Tier 4 student visas.
- 11.14 To require written work as appropriate and return such work with constructive criticism within times mutually agreed. It is advised that a time plan and set of objectives are drawn up with the student to enable monitoring of achievement throughout the project.
- 11.15 To arrange, as appropriate for the student to give presentations on the progress of his or her research to Institute/Faculty or Research Centre staff and other postgraduate students. Supervisors are encouraged to help students to interact with others working in the field of research, for example encouraging the student to attend relevant conferences and supporting him or her in seeking funding for such events.
- 11.16 To ensure that the student is made aware of any inadequacy of progress or when the standard of work falls below that generally expected, and to work with the student to develop an appropriate action plan.
- 11.17 To undertake a formal assessment of student progress every six months for submission to the Graduate School (Registry). Where there is insufficient progress this should be made clear.
- 11.18 To check the student's portfolio regularly and to ensure that the portfolio guidelines are being followed
- 11.19 To complete a Graduate School Skills Analysis (GSSA) with the student to ascertain the Graduate School Skills Programme sessions they need to attend and to support their attendance at these sessions.
- 11.20 To assist the student in obtaining knowledge and information about developing career options and referring the student to careers advice within SGUL and the University of London;
- 11.21 To ensure that, where applicable, the student adheres to the requirements of the procedure for the transfer from MPhil to PhD status or from MD(Res) to PhD status; to inform the Institute/Faculty Postgraduate Co-ordinator of the transfer plans; to organise the oral examination of the student; to report the outcome to the Research Degrees Committee on the appropriate form including the examiners reports.
- 11.22 To arrange for the appointment of the Examiners for the finished thesis, and the oral examination, advising Registry of the date, and, subsequently advise of the examination result.
- 11.23 Where a student has been required to resubmit their thesis following an oral examination, supervisors should ensure that they provide the required support and supervision to ensure that the student is able to resubmit within the stipulated timeframe.

Section C: Responsibilities of the Head of Institute

- 12.1 To ensure that the requirements set out in this Core Code of Practice are followed and in particular to ensure that the procedures for the effective supervision and monitoring of students are strictly observed.
- 12.2 To ensure that students are admitted for a research degree only where suitable supervision and the necessary equipment, facilities and funding are available.
- 12.3 To ensure that suitable research topics have been agreed for each student and that an appropriate supervisory team is appointed within the time specified (*see paragraph 4.2*).
- 12.4 To ensure that the procedure for transfer of registration from MPhil to PhD is operated effectively.
- 12.5 To provide general guidance to all research students and to establish standard procedures for their effective supervision and monitoring.
- 12.6 To ensure that all students follow the Induction Programme, the Graduate School Skills Programme and other relevant courses recommended by their supervisors.
- 12.7 In the case of breakdown of relations between the supervisor and the student and in other circumstances where a change of supervisor is desirable, to give advice in strict confidence, to assist in resolving any difficulties and, where necessary, to arrange the appointment of a replacement supervisor in consultation with the Institute/Faculty Postgraduate Co-ordinator, subject to the approval of the Research Degrees Committee.
- 12.8 In cases of absence by the supervisor, to ensure that adequate arrangements are made for the student's continuing supervision.
- 12.9 To be responsible for the welfare and academic progress of the research students in the Institute and Research Centre.
- 12.10 In the case of students supervised by members of staff in more than one Institute/Faculty, institution or organisation, to agree in writing the responsibilities of each relevant institution and to specify in advance of registration what facilities, equipment and benefits are expected to be provided on each side.
- 12.11 To exercise responsibility for safety and provide appropriate training and information through the nominated Safety Officer.
- 12.12 To delegate, where appropriate, responsibility for the day-to-day organisation of graduate research in the Institute/Faculty and Research Centre to a nominated person, the Institute/Faculty Postgraduate Co-ordinator.

Section D: Terms of Reference:

1. To advise Senate and Council of all matters relating to postgraduate strategy in general as well as the recruitment, admission, resources, supervision, courses of study and progress of candidates for research degrees of the University of London and of St George's, University of London;
2. To approve on behalf of Senate, the admission, the arrangements for registration and supervision, the proposed research facilities, the proposed course of study and, where relevant, the transfer of registration status, in individual cases:
3. To ensure the maintenance of quality and standards for research degree programmes, including the oversight of the training and staff development opportunities for supervisors:
4. To issue, subject to the approval of Senate, guidelines to students and supervisors on their respective duties and responsibilities;
5. To identify, promote and facilitate core research and transferable skills training for students registered for research degrees;
6. To establish and implement procedures for the review of the progress of individual students and of the performance of their supervisors and, where necessary, to consider appropriate action in cases of dissatisfaction on either side;
7. To take such action as is felt appropriate to promote the welfare and involvement in the life of the Institution of all students registered for research degrees;
8. To monitor the numbers and completion rates of students registered for research degrees reporting (via the Chair) to QAEC and other University committees, as appropriate;
9. To agree the examination arrangements and the examining team in accordance with the University of London regulations for MPhil/PhD and MD(Res);
10. To organise and manage arrangements for the approval of external examiners for research degrees within SGUL on behalf of Senate;
11. To receive notification of conferment of the award in respect of all individual candidates undertaking a research degree by reviewing examiners' recommendations;
12. To establish appeals panels to determine appeals from research students on research degree examinations and to receive, for information, a copy of the decisions subsequently made by the panels.

Membership:

1. Head of the Graduate School.
2. Deputy Head of the Graduate School (Chair).
3. At least one representative from each Institute/Faculty who will usually be the Postgraduate Coordinator in that Institute/Faculty.
4. At least three students registered for a research degree nominated or elected by the Postgraduate Society, with a least one representative undertaking a PhD and one representing MD(Res).
5. The Committee shall have the power to co-opt up to four members of SGUL staff with significant research student supervision.

1st August 2006/ revised October 2006/ Revisions made and approved at RDC 23 March 2011/draft for November 2012/ revisions made and approved by RDC September 2014.

12 July 2018 - revisions made and approved by RDC

Revisions agreed:

<i>Research Degrees Committee</i>	11 November 2020
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