

CODE OF PRACTICE FOR POSTGRADUATE RESEARCH STUDENTS

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Glossary of Terms

<i>Board of Study</i>	A Faculty's senior academic committee, which makes recommendations directly to Senate and takes some decisions on behalf of Senate, via delegated authority.
<i>Department / School</i>	Academic Departments or Schools within each Faculty.
<i>'Completing' Status</i>	Postgraduate students who have completed their normal duration of study but are still working on their thesis are registered as 'completing'.
<i>Faculty</i>	The University has four faculties: <ul style="list-style-type: none"> - Engineering - Humanities and Social Sciences - Science - Strathclyde Business School
<i>Oral Examination</i>	Also known as the Viva Voce, this refers to the oral examination in which a research student defends their thesis in front of a Committee of Examiners to determine the outcome of their study.
<u>PEGASUS</u>	An online portal which provides access to a number of services for students and staff members.
NEPTUNE/SPIDER	NEPTUNE/SPIDER are administration systems used by Faculties to keep track of student paperwork. NEPTUNE is used by the Faculties of SBS, HaSS and Engineering. SPIDER is used by the Faculty of Science.
<i>Primary Supervisor</i>	A member of the academic professional staff of the University with an appropriate level of qualification and experience, who is appointed to supervise a postgraduate research student. As part of the Supervisory Team, the Primary Supervisor will have primary responsibility for the supervision of the student. The Primary Supervisor is sometimes referred to as the First Supervisor.
<i>Programme Handbook</i>	Guide detailing specific programme-related information.
<i>Research Degree / Higher Degree by Research</i>	Any higher degree offered by the University involving a substantial research period and production of a thesis for examination.
<i>Senate</i>	The academic governing body within the University, responsible for all academic matters including academic standards and quality.
<i>Second Supervisor</i>	A member of the student's supervisory team who does not have primary responsibility for the student, but is nevertheless a significant member of the Supervisory team with relevant subject expertise and pastoral responsibilities. The Second Supervisor may provide additional support if the Primary Supervisor is absent for a period.
<i>Supervisory Team</i>	The Supervisory Team comprises the Primary Supervisor and any secondary Supervisors. The Supervisory Team provides independent advice and support, brings subject expertise to the team, and, in some cases, provides pastoral support. External team members are not expected to undergo supervisory training.
<u>University Regulations</u>	The Regulations describe the remit and composition of various University committees; regulate the academic work of the University, the education and discipline of its students; and such other matters as lie within the functions of Senate. These Regulations stand separate to the General Academic Regulations.
<u>University Ordinances</u>	Regulatory document providing details on the way in which the University is governed.
<u>Voluntary Suspension</u>	A voluntary interruption of studies for an individual who has otherwise qualified for continued study.

Introduction

1. This *Code of Practice for Postgraduate Research Study* was developed as part of a review into the policy, procedure and experiences surrounding Postgraduate Research at the University of Strathclyde. It replaces the *Policy and Code of Practice for Postgraduate Research Study* (inst. 2013, rev. 2014, 2016, 2017).
2. This *Code* recognises that research students make a vital contribution to the University of Strathclyde's research culture and international reputation and that the University of Strathclyde is committed to providing the highest quality of provision and support for its postgraduate research students to assist in all stages of their career.
3. This *Code* sets out the University's expectations for institution-wide standards relating to all its postgraduate research provision and outlines the responsibilities of all parties involved in this provision.
4. This *Code* is available to all, but is primarily aimed at all those involved in research degree programmes, including:
 - a. Research Students;
 - b. Supervisors of Research Students;
 - c. Members of Interim and Annual Review Panels;
 - d. Members of Progression Panels;
 - e. Examiners of Research Degrees;
 - f. Research Support and Administrative Staff; and
 - g. Any other staff involved in supporting or monitoring research programmes.
5. This *Code* should be read in conjunction with other relevant University policies, including:
 - a. The *General Academic Regulations (Postgraduate Research)*;
 - b. The University of Strathclyde's [Strategic Plan, 2020-2025](#);
 - c. The [Research Data Policy](#), [Research Code of Practice](#) and other relevant policies on ethics and research integrity;
 - d. The relevant Faculty or School/Department Handbook for Research Students;¹
 - e. The University's policy for *PGR Leave for students with caring responsibilities*; and
 - f. The University's [Equality and Diversity Policy](#).
6. This *Code* has been drawn up with reference to the above and the [UK Quality Code for Higher Education, Advice and Guidance: Research Degrees \(2018\)](#). Students and Staff are urged to make themselves aware of these and other relevant policies on the University's [Academic Regulations](#) webpages.
7. All students and staff have a responsibility to make themselves aware of current and ongoing policy changes arising from funders at regional, national and international levels which affect the conduct of research and/or the commercialisation, dissemination or publication of research results or findings. These might include:
 - a. [The Concordat to Support Research Integrity](#);
 - b. [The Concordat on Open Research Data](#);
 - c. [The Concordat for Engaging the Public with Research](#);
 - d. [The UKRI Statement of Expectations on Postgraduate Training](#);

¹ Individuals looking for Faculty or School/Department Handbooks should contact the relevant Faculty, School/Department administrator.

- e. [The Knowledge Exchange Concordat](#);
 - f. [The UKRI Common Principles on Data Policy](#); and
 - g. [The UKRI Open Access Policy](#).
8. This Code is applicable to all University of Strathclyde research degrees, details of which can be found within this Code and within the *General Academic Regulations (Postgraduate Research)*.

Institutional Arrangements

Awards and Regulations

9. The University offers a number of postgraduate awards with a predominant or significant research component broadly equivalent to Level 11 (or SHE5) and Level 12 (SHE6) in the [Scottish Credit and Qualifications Framework](#) (SCQF). The relevant academic awards include:

Masters Awards

- a. The degree of Master of Philosophy (MPhil)
- b. The degree of Master of Research (MRes)

Doctoral Awards

- c. The degree of Doctor of Business Administration (DBA)
- d. The degree of Doctor of Education (EdD)
- e. The degree of Doctoral of Educational Psychology (DEdPsy)
- f. The degree of Doctor of Engineering (EngD)
- g. The degree of Doctor of Information Science (DInfSci)
- h. The degree of Doctor of Pharmacy (DPharm)
- i. The degree of Doctor of Philosophy (PhD)
- j. The degree of Doctor of Philosophy with Integrated Studies (PhDIntSt)

Higher Research Awards

- k. The degree of Doctor of Science
- l. The degree of Doctor of Letters

10. Information on these awards, their regulations and standards, can be found in the *General Academic Regulations: Postgraduate Research*.

Award Descriptors

Doctoral Awards²

11. These degrees are awarded to students who have demonstrated all of the following:
- a. The creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
 - b. Systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
 - c. The general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems; and

² These descriptors reflect the general sector expectations of the skills development during a doctoral award programme. They are not meant as prescriptive, and this policy recognises that there will be differences between structured and unstructured programmes. (See the *General Academic Regulations: Postgraduate Research* for more guidance.)

- d. A detailed understanding of applicable techniques for research and advanced academic enquiry.

12. Typically, holders of the qualification will be able to:

- a. Make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions effectively to specialist and non-specialist audiences;
- b. Continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches; and will have
- c. The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

13. A thesis must contain a substantial original contribution to knowledge or understanding.

MPhil or MRes

14. The degrees of MPhil or MRes are awarded to students who have demonstrated:

- a. A systematic knowledge and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study, or area of professional practice;
- b. A comprehensive understanding of techniques/methodologies available to their own research or advanced scholarship;
- c. Originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;
- d. Conceptual understanding that enables the student:
 - i. To evaluate critically current research and advanced scholarship in the discipline; and
 - ii. To evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

15. Typically, holders of the qualification will be able to:

- a. Deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences;
- b. Demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level;
- c. Continue to advance their knowledge and understanding, and to develop new skills to a high level, and will have
- d. The qualities and transferable skills necessary for employment requiring:
 - i. The exercise of initiative and personal responsibility;
 - ii. Decision-making in complex and unpredictable situations; and
 - iii. The independent learning ability required for continuing professional development.

16. The MPhil is a degree of considerable distinction in its own right and an MPhil thesis (or equivalent) is expected to display a good general knowledge of the field of study, a comprehensive knowledge of some part or aspect of the field of study, and a recognisable original contribution to knowledge or understanding.

Collaborative Provision

Joint Postgraduate Research Programmes (with Degree Awarding Bodies)

17. Joint PhD programmes must be developed in conjunction with the *Framework for Joint PhD Awards*, which was developed in line with the QAA Quality Code and the QAA's Characteristics Statement for qualifications involving more than one degree-awarding body.
18. Joint awards constitute a collaboration with another degree awarding institution where both institutions will provide supervision, and in some cases teaching, during the course of the award.
19. With the approval of the Head of School/Department, the University may collaborate with other institutions/agencies to provide joint postgraduate research programmes leading to an award or joint award of the University where there is mutual advantage to the student, the University and the collaborating organisation. Arrangements may take the form of:
 - a. Registering a student to undertake a research programme out with the University (e.g. in a company or Government Research Laboratory); or
 - b. Collaborating with another University to jointly supervise a student on a research programme.
20. Proposals for collaboration with another institution or agency to jointly supervise a student must be explicitly notified to the Head of School/Department for approval according to the provisions within the [University Policy and Code of Practice for Collaborative Education Provision](#).
21. Proposals to the Head of School/Department must confirm one of the following:
 - a. **EITHER:** The University of Strathclyde will be the administering University;
 - b. **OR:** Another University will be the administering University.
22. The policies and regulations of the administering institution will apply.
23. Students will be entitled to use any of the student support services of either university or organisation.
24. Administering institutions must have the power to award research degrees.
25. In either option, the Senate of University of Strathclyde may insist, if required, that the institution approves the Examining Committee.

External Research Students

26. Any proposal to register for an award of the University of Strathclyde by an external research student must be explicitly notified to the Head of School/Department.

Commercialisation of Research and Intellectual Property (IP)

27. The University encourages the development of intellectual property by research students. It encourages publication following scholarly activity and research, and seeks to support the development of inventions and fully realise the benefit of commercial opportunities where possible.³
28. The University provides a framework for its development and exploitation of intellectual property and offers rewards and incentives for doing so.
29. The University's IP & Commercialisation Team within Innovation & Industry Engagement makes available an established commercialisation framework which

³ Staff and Students looking for information on moratoriums should consult the relevant sections of this document and General Academic Regulations: Postgraduate Research (91-95).

includes managing the protection and registration of intellectual property, the licensing of intellectual property and the creation of spinout companies.

30. Postgraduate research students are required to assign (as a condition of admission) the Commercial Rights created either in the course of research activity carried out as part of the applicable research programme, or using a University contribution. The assignation shall be made to the University (or a third party as directed by the University) and shall be constituted by acceptance of any University Terms and Conditions which incorporate this Policy. Postgraduate research students shall execute any other documents or agreements considered necessary or desirable by the University to give effect to this assignation promptly by request. There are two exemptions to the request to assign:
 - a. The conditions of the Studentship funding prevent the student agreeing to the provisions (for example, where there is a separate IP agreement in place with a third party); and
 - b. There are other reasons for the student being unable to agree to the provisions (for example, the student holds significant background IP).
31. Postgraduate research students shall disclose details of any inventions or Commercial Rights to the University on becoming aware of them.
32. Where a postgraduate research student has assigned Commercial Rights to the University, revenue generated from commercialisation activity will be shared with the postgraduate research student on the same basis as applies to University staff pursuant to the University Court's Minute on Royalty Income (as updated, from time to time).
33. Postgraduate research students shall retain ownership of Scholarly Rights created either in the course of research activity carried out as part of the applicable research programme or using a University Contribution, provided that the University is granted perpetual and royalty-free licence to use such Scholarly Rights for non-commercial teaching, research and academic purposes. Where any student wishes to exploit its Scholarly Rights in a way which could affect or impair the value of Commercial Rights in the same material (e.g. by publishing information which may be relevant to potential patent applications), this shall be subject to the University's prior approval. The University shall act reasonably in considering any request for approval.
34. Terms in this section have the following definitions:
 - a. Commercial Rights: for this purpose, the term means all patents, utility models, rights to inventions, copyright and related rights (including moral rights), in computer software and/or code, trademarks, business names and domain names, rights in get-up, rights in designs, database rights, rights to use, and protect the confidentiality of, confidential information (including know-how and trade secrets), semiconductor topography rights, and all other intellectual property rights which could reasonably be considered to possess commercial potential.
 - b. Scholarly Rights: means all copyrights in books, articles, plays, lyrics, scores or lectures (unless specifically commissioned by the University) student theses or papers, which are not Commercial Rights.
 - c. University Contribution: means any use of University funds, personnel, resources, information or assets of any kind which are permitted, enabled, arranged, administered or controlled by the University.

Research Environment

35. The University of Strathclyde is committed to creating (and maintaining) a productive, supportive and inclusive research environment.
36. The University of Strathclyde is committed to providing opportunities for all research students, through collaborative and innovative working with Faculties and the Doctoral School.
37. The University is committed to the highest standards of research integrity within its research community, maintained with reference to a framework of University policies (found on the University's Research [integrity webpages](#)) as well as legal and funder frameworks.
38. Research students are provided with an appropriate research environment, that is:
 - a. Where excellent research, recognised by the relevant subject community, is occurring;
 - b. Where support is provided for engaging in, and learning about, research; and
 - c. Where appropriate representation for research students is established.
39. The University assures the provision of an excellent research environment by collaborative working with the Strathclyde Doctoral School and the student-led Doctoral Researchers Group, and the consideration of Faculty Annual Reports and the [Postgraduate Research Experience Survey](#) (PRES). The University will take action to address any identified weaknesses.
40. A School/Department or Faculty should assure the provision of an appropriate research environment by considering the following:
 - a. Appropriate supervision of the proposed research topic can be provided by existing members of staff;
 - b. There are sufficient numbers of research students and high calibre research-active staff in the student's chosen field and related areas;
 - c. There is an active research community to support the student, for example in terms of the provision of regular research seminars, etc.; and
 - d. The necessary facilities and training to support the student can be provided.

Facilities and Resources

41. Schools/Departments (working in conjunction with the relevant central services) are responsible for ensuring that research students have the facilities and resources they need to pursue their approved research. Guidance on the facilities and resources provided should be included in the School/Department's handbook for research degree students.
42. Schools/Departments are responsible for ensuring that students undertaking work away from the University (e.g. fieldwork and research visits) have the facilities and resources they need, and for undertaking any necessary health and safety or risk assessments.
43. Facilities and resources should normally include:
 - a. Access to photocopying and printing;
 - b. Library resources (including training and relevant electronic resources);
 - c. Appropriate spaces for work and study;
 - d. Appropriate computing provision for their research project (hardware, software, training and support); and,
 - e. Access to specialist facilities and materials and/or technical support (where relevant).

44. Schools/Departments should ensure that there is a well-publicised, equitable and transparent procedure for allocating funding for conference attendance.

Attendance to study

45. The University of Strathclyde encourages a healthy work-life balance for all research students during their studies and staff should be cognisant of any student's work schedule provided they are regularly attending to their studies. It is the student's responsibility for regularly attending to their studies.
46. For research students on a Student Route visa, please see the relevant section in this document on attendance monitoring for additional guidance.
47. Where a student's study is impacted by ill-health, the student should follow the appropriate procedure:
 - a. For absences of seven days or fewer, the student should record a self-certification online via PEGASUS using the Personal Circumstances link.
 - b. Where sickness results in an absence of more than seven working days, students should refer to the [Personal Circumstances webpage](#).
 - c. In both circumstances, the student should notify both their Primary Supervisor and the Department PGR Programme Administrator.

Research Integrity and Academic Misconduct

48. The University expects research to be conducted in accordance with the highest standards of research integrity and research methodology.
49. Every Supervisor and Postgraduate Research Student should familiarise themselves with the University's [Research Integrity](#) policies and procedures upon starting a research programme at the University.

Research Governance and Ethics

50. The University's [Research Data Policy](#) and [Research Code of Practice](#) should be consulted before any relevant research takes place.
51. It is the Primary Supervisor's responsibility to ensure that all research is organised and undertaken within a framework of best practice, that recognises the various factors that may influence a student's research project.
52. The Primary Supervisor should work with the student to ensure that all necessary permissions are obtained before the project (or research data gathering) begins, and that there is clarity of role and responsibility among the research team (including the student's role) and with any collaborators.
53. The Primary Supervisor is responsible for ensuring that all ethical issues relating to a student's research project funded from the Studentship (see above) are identified and brought to the attention of the relevant approval or regulatory body.

Research Data Management

54. Adherence to [best practice](#), via the creation and implementation of a project [Data Management Plan \(DMP\)](#), should be ensured by the student and their Primary Supervisor where applicable. Project DMPs should describe the data being collected/generated, outlining how this will be managed (i.e. stored, secured, backed-up, organised, and documented) during, and after, project completion. Data management planning decisions should take account of any contractual obligations and funder data requirements/mandates which are relevant to the project. DMPs should also clarify how roles and responsibilities for data management planning will be allocated within a project. In addition to complying with any funder and/or contractual obligations, research students must comply with University policy - particularly the

[Research Data Policy and Research Data Deposit Policy](#) - by [depositing the data](#) which underpins the research in the University's institutional data repository within [Pure](#) upon, or after, project completion, or following publication.

55. Decisions about the suitability for sharing/publication, and future reuse of research data, should be taken in consideration of any ethics and/or project collaboration agreements and commercialisation issues (see relevant section of this document for more information), as well as funder data policy/requirements and the University's [Research Data Policy and Research Data Deposit Policy](#). Where any research data require restriction (for example, to embargo data until after expiration of thesis moratorium) research students should take steps to restrict visibility of the dataset, accordingly.

Academic Misconduct

56. The University is committed to developing high standards of academic practice among its staff and students, and to safeguarding the standards of its academic awards to individuals. The University regards any form of academic misconduct as an extremely serious matter.
57. Staff and students should familiarise themselves with the following:
- a. The [University's Procedures and Guidelines for Dealing with Possible Instances of Academic Dishonesty](#);
 - b. Strathclyde's [Student Discipline Procedure](#); and
 - c. The University's [Good Academic Practice and the Avoidance of Plagiarism](#).
58. The University's [Procedures and Guidelines for Dealing with Possible Instances of Academic Dishonesty](#) (58a) should be followed in all cases of alleged academic misconduct and, in particular, in all instances staff should endeavour to ensure that appropriate communication has taken place with the student regarding the allegations and possible subsequent actions and outcomes. The student must be afforded appropriate opportunity to discuss the matter and intimate any mitigating circumstances.

Training and Development

Researcher Development Programme (RDP)

59. The University of Strathclyde is committed to the ongoing personal and professional development of research students and works to help them enhance their core skills and competencies and widen their scope for future employability both inside and outside of academia. All research programmes of study have stipulated skills training and development requirements and these are outlined in the *General Academic Regulations: (Postgraduate Research)* and the relevant *Programme Regulations*.
60. Not all PGR students are required to undertake the Researcher Development Programme. This included EdD students and any students based in the Strathclyde Business School. SBS students undertake a PGCert in [Research Methodology in Business and Management](#). If unsure, staff and students are encouraged to check with their relevant departmental/school administrator.
61. The University uses the [Vitae Researcher Development Framework](#) to support students in understanding their training and development needs for both their academic research and their future career. The framework articulates the core competencies and behaviours of successful research students and students are invited to use it to create their own training and development plan.
62. Opportunities to develop skills, knowledge and capabilities may take the form of taught classes, short courses, workshops, events, programmes, funding

opportunities, e-provision and personal experiential learning and development. The Researcher Development Programme is delivered by Faculties, Professional Services and external partners to offer the research community a range of opportunities to continue their personal, professional, and career management skills development.

63. For most research degrees that have no formal taught component students are required to complete the PG Certificate in Researcher Professional Development. Starting with a training needs analysis and a personal training and development plan, students keep a portfolio of activities and learning that is mapped onto the learning outcomes for the course. The PG Cert in Researcher Professional Development is a credit bearing academic award and students' learning and development is formally assessed against learning outcomes aligned to the Researcher Development Framework through a set of reflective essays.
64. The PG Cert in Researcher Professional Development adheres to the relevant standards and expectations set out by research funders, and within the [UK Quality Code for Higher Education: Research Degrees](#), [the European Charter for Researchers](#), [the UK Concordat to Support the Career Development of Researchers](#), and the [Researcher Development Framework and Statement](#) (RDF/S), alongside any other nationally agreed policy.

Student Wellbeing

65. The University takes it duty of care for postgraduate research students very seriously. This includes a commitment to ensure that:
 - a. Staff responsible for supporting the student experience should be duly sympathetic and informed of where students might seek assistance.
 - b. Students look after their own wellbeing and are encouraged and enabled to do so;
 - c. Students are supported to develop skills and tools to support their own wellbeing;
 - d. Students are able to seek appropriate assistance where required; and
66. The University has several policies in place which set out the University's commitments to supporting students on a path to success and providing a stigma-free atmosphere. This includes, among others, the following University policies and guidance:
 - a. [Equality and Diversity Policy](#);
 - b. [Dignity and Respect Policy](#);
 - c. [Equality and Diversity Strategy Committee Policy on Lesbian, Gay, Bisexual, Trans \(LGBT+\) students and staff](#);
 - d. Guidance on [supporting transgender students and staff](#);
 - e. [Mental Health and Wellbeing Policy](#);
 - f. [Disability Policy](#) ; and
 - g. [Guidance for students and staff on student maternity, maternity/paternity support and adoption](#).
67. Positive relationships between students and the supervisory team are key to a high-quality student experience. While supervision is often seen as mainly intellectual guidance, supervisors have a responsibility to be supportive of students and inform themselves about relevant support mechanisms or services that they might engage with or direct students to.

68. In circumstances where students feel they cannot speak with their supervisory team, they are advised to approach the Strathclyde Doctoral School, or relevant School/Departmental contact. Students are encouraged to reach out for support rather than suffer in silence.
69. There are several Services within the University through which students may seek assistance and support, including:
- a. [Counselling](#);
 - b. [Disability Services](#);
 - c. [Equality and Diversity](#);
 - d. [Chaplaincy](#);
 - e. [Sport](#); and
 - f. The [Doctoral Researcher Group](#);
 - g. [Financial Support Services](#);
 - h. [Strathclyde Students' Union](#).

Governance

Committees and their areas

70. There are four main committees which have responsibilities allied to postgraduate research students. These are:
- a. The Research & Knowledge Exchange Committee (RKEC), which has oversight of strategy, policy and monitoring with respect to research and knowledge exchange activity.
 - i. The Researcher Development Sub-Committee addresses issues specifically relating to the Postgraduate Researcher experience, and is a sub-committee of RKEC.
 - b. The Learning Enhancement Committee, which is responsible for developing and monitoring the University's strategy for Learning, Teaching and Assessment, and the enhancement of the student experience.
 - c. The Quality Assurance Committee, which is responsible for the quality assurance of the University's academic provision and standards through its oversight of annual and cyclical quality assurance processes.
 - i. The Quality Assurance Committee reports to Senate through the Education Strategy Committee.
 - d. The Student Experience Committee has delegated responsibility for student experience matters and is a partnership committee between the University of Strathclyde and Strath Union.
71. Operational *institutional* responsibility for research students and research degree programmes is as follows:

Area	Office
Recruitment	Marketing and Development Services Directorate; Faculties; Departments; Schools
Admissions and Compliance	Directorate of Student Experience
Supporting the research student journey from enrolment through annual progression to final examination and award	The Strathclyde Doctoral School

Research degree programme approval, monitoring and review	Senate
Research student induction and training	Research and Knowledge Exchange Services
Training for Graduate Teaching Assistants	Faculties
Research Student Regulations and Code of Practice	Directorate of Education Enhancement
General Research Policy	Research and Knowledge Exchange Services
Research Ethics	Research and Knowledge Exchange Services
Training for Supervisors	Organisational and Staff Development Unit

Student Voice

72. The University commits to ensuring that postgraduate research students have appropriate and adequate student voice representation, within Schools/Departments and Faculties, as well as through the Students' Union and the Doctoral Research Group.
73. The University will monitor PGR student experience through various student voice processes.
- a. This will include the [Postgraduate Research Experience Survey \(PRES\)](#), which takes place at Strathclyde every two years.

Admission and Registration

74. The standard admissions criteria for research degree programmes are set out in the University's [Admissions Policy](#). Any additional criteria to the standard admissions policy are set out in the annually published *Individual Research Degree Regulations*.
75. Members of staff of the University of Strathclyde may apply for research degree programmes as described in the University's policy on postgraduate research study for staff. Staff applicants must remain members of staff for the duration of the research programme. The admissions criteria listed in the above [Admissions Policy](#) will apply to University staff applicants.

Candidate Entry Qualifications

76. The School/Department has overall responsibility for the initial assessment of the suitability of a candidate for postgraduate research study, through evaluation of academic qualifications, referees' reports, 'English as a Foreign Language' qualifications, interviews, or other mechanisms appropriate to the subject of study and/or the candidate concerned.
77. Any requirements to attend interviews or other assessment procedures will be communicated in good time to the candidates (or if part of the standard assessment, will be identified as part of the entry requirement). Where possible, alternative formats should be offered, if, for whatever reason, travel is not possible.
78. Postgraduate research entry requirements are outlined in the University's [Admissions Policy](#) (6.6.2). Programmes with specific additional entry requirements are published on the University website.
79. Heads of Schools/Departments are responsible for ensuring that all staff involved in making an academic decision on qualification for entry are aware of both the

institutional and discipline specific entry requirements governing admission of postgraduate research students.

Applications

80. Applications for postgraduate research study should be made through the online web-based application process.
81. Prior to the submission of an application, prospective applicants are encouraged to contact Schools/Departments directly to discuss possible research areas and to meet prospective supervisors.
82. Applications for postgraduate research study are accepted throughout the year, and it is possible for a student to begin their studies at the start of any month, following agreement with the relevant School/Department. Where possible, students should be encouraged to commence their studies at either of the two traditional commencement dates (October and January), in order to fully integrate into postgraduate research life and culture.
83. Students commencing their studies outside traditional commencement dates should receive all relevant discipline/School/Department inductions, training and introductions to relevant postgraduate communities.
84. In line with other universities in the UK, the University of Strathclyde operates a screening procedure for all applicants in respect of previous criminal convictions. For more information, refer to the University's [Admissions Policy](#).
85. Applications from international students to study in the UK at Strathclyde are subject to UK immigration controls.

Selection

86. The University will admit students to a postgraduate research programme only if they are considered to have the necessary experience, qualifications and motivations to succeed in achieving the award.
87. The decision to admit a student to postgraduate research study will be made by the relevant Head of School/Department (or nominee), or Vice-Dean of the Faculty, as appropriate, and at least one other member of staff with relevant expertise (normally the prospective Primary Supervisor). The criteria for admission include the following:
 - a. Whether the applicant is appropriately qualified to undertake the proposed research programme;
 - b. Whether the research programme fits into the research portfolio of the School/Department, Faculty, or Centre for Doctoral Training to which the candidate has applied;
 - c. Whether the student can be appropriately supervised and supported within the institution, in terms of the community, accommodation, facilities and support services; and
 - d. Whether the student has adequate proficiency in the English Language.
88. The University normally requires potential candidates whose first language is not English to have a minimum score of 6.5 in the International English Language Testing Service (IELTS), or equivalent.
 - a. The University provides English language courses, in-session and pre-session.

Research Proposal

89. Applicants are normally required to suggest and agree a general area of research with the School/Department, Faculty or Centre for Doctoral Training to which they are applying. Once the general area is agreed, the prospective student and their supervisor should agree a brief outline research proposal. This should indicate the proposed area of research, the methodology and how proposed work relates to any previous research in relevant fields.
90. If possible, a draft research proposal should be agreed prior to the issue of a formal offer letter to the applicant by the University. This includes the need (where possible) for any necessary (and known) ethical approvals to have been secured through both internal University processes and any external (regulatory) requirements. Where logistics prevent this from occurring, a draft proposal should be agreed, and all ethical approvals obtained, as early as possible following the start of the official study period. Failure to do this may preclude the student from continuing their studies.
 - a. A copy of the proposal and any ethical approval notices should be retained by both the Student and the Supervisor.
91. The general study arrangements for the programme must be agreed prior to the issue of an offer by the University. This is particularly important in cases where distance learning approaches are involved.
92. If the applicant intends to use existing research and/or published output as part of any examinable part of the research degree, this should be declared and agreed prior to the issue of an offer by the University. There should also be agreement with respect to any credit that will be applied in the context of Prior Learning.

Confirmation of Offer Letters

93. The Admissions Team is responsible for issuing formal confirmation of an offer of admission to postgraduate research students. These letters will include clear statements of the following:
 - a. General field of study agreed;
 - b. Title of the award;
 - c. The names of both Supervisors (and any external supervisor, if known);
 - d. Minimum duration of study;
 - e. Fees to be paid for the first year;
 - f. The Policy and Code of Practice for Postgraduate Research Students, alongside relevant information from the Finance Office; and
 - g. Any other terms and conditions that apply to the offer.
94. In exceptional cases where the name of the Supervisor is not known, the circumstances will be made clear to the student and the name of the relevant Head of School/Department, or Vice-Dean Academic, will be given instead.
95. Before the student accepts the offer and begins registration, the student should be informed of any Commercialisation of Research and Property Rights (as identified in the section above) that may impact or otherwise influence their decision to join the University of Strathclyde.

Registration

96. Students are required to accept the terms of the University's offer of admission and agree arrangements for payment of fees with the Finance Officer before they are registered for postgraduate study.
97. Registration is renewed annually in September for the agreed duration of study. During the first registration, students should receive a student card confirming their entitlement to use student services and facilities. Where this is not possible,

alternative methods of confirming the student's entitlement to use student services and facilities must be employed.

Doctoral Studentship Funding

Terms and Conditions

98. The Terms and Conditions relating to all Doctoral students in receipt of funding from the University of Strathclyde are detailed below. These University Terms and Conditions may be superseded where any subsequent studentship funding award is bound by the separate Terms and Conditions of a third party, and/or where a student is self-funded.
99. These Terms and Conditions are not a guarantee of studentship funding. Any funding award will be issued via a formal Funding Award Letter which will state the duration of the award.
100. The expected start and end dates for studentships should be agreed between the Student, the Supervisor and the studentship funder.
101. Full-time studentship holders are expected to carry out their research for a minimum of 35 hours per week during the University's normal business hours (i.e. Monday to Friday 9am to 5pm) for the duration of their study. The pro-rata value is expected for part time students.
102. In the interests of avoiding excessive commitments and ensuring appropriate focus on Doctoral study, internal teaching/tutoring is limited to a maximum of 7 hours per week.
103. Full-time studentship holders cannot take on other paid work during the University's normal business hours (i.e. Monday to Friday 9am to 5pm) (with the exception of internal teaching/tutoring as detailed above).
104. Students in full-time employment, or those wishing to take on full-time employment part way through a studentship, will not be eligible for a stipend of any kind from the University. A tuition fee studentship may be available for those in full time employment, depending on the source of the funding.
105. Students in part-time employment, or those wishing to change their student status to part-time in order to take up an internal or external part-time job, may be eligible for a part-time studentship depending on the source of the funding.
106. A part-time studentship should normally be at the 0.5 FTE level.
107. UKRI-funded students cannot change status (full time to part time or vice versa) within the final 6 months of a studentship.
108. UKRI-funded students cannot change status (full time to part time or vice versa) more than once during their duration without approval from UKRI.
109. Students must inform their Supervisor and funder of any change in circumstances that could affect the financial management of their studentship. Failure to do so could result in the termination of the studentship and/or the reclamation of funds.
110. Students in receipt of a studentship must hold the right to live and study in the UK.
111. Students in receipt of funding from UKRI or other external funding body must meet the relevant associated criteria.

112. No additional funds will be provided beyond the agreed end date of the studentship, unless a separate additional agreement is agreed, or alternative studentship awarded.
113. Unless agreed with their Supervisor and funder, students must live within a reasonable travel time of the University to ensure that they are able to maintain regular contact with their School/Department and Supervisor.

Responsibilities

Responsibilities of the Student

114. The responsibilities of research students include:
- a. Carrying out their research for a minimum of 35 hours a week for the duration of their study, where possible (or pro-rata value for part-time students);
 - b. Taking responsibility for their own personal and professional development, including recognising when they need help and seeking it in a timely manner;
 - c. Taking advantage of the University of Strathclyde's training⁴ made available to them to support their research, enhance their employability, and to assist in their career progress after the completion of their degree;
 - d. Recognising that much of the training that research students receive is informal (from the supervisory team, the interim and annual review panels, or the wider research community) and therefore engaging, as much as possible, with informal training, networking and community-based learning;
 - e. Keeping an accurate and comprehensive record of all training (whether provided centrally, departmentally or externally) and other enrichment activities that they have undertaken (e.g. presentations made, conferences attended, teaching, demonstrating, or internships undertaken, etc.);
 - f. Maintaining (a joint responsibility with supervisors) contact with the supervisory team. Both full-time and part-time students are required to attend regular formal supervisory meetings;
 - g. Preparing adequately for meetings with the supervisory teams and progression panels;
 - h. Setting and keeping to timetables and deadlines, including planning and submitting required work and generally maintaining satisfactory progress with the programme of research;
 - i. Making supervisors aware of any specific needs or circumstances likely to affect their work;
 - j. Raising any issues from their study with their supervisory team or relevant staff member within a reasonable timeframe;
 - k. Engaging, as much as possible, with the research community at Strathclyde (e.g. attending seminar series, networking events, participating in student voice and other feedback channels, etc.);

⁴ In line with the Concordat to Support the Career Development of Researchers, and the UKRI's Statement of Expectations for Doctoral Training.

- l. Conducting research with integrity, in accordance with the University's policy framework and any legal compliance and/or funder requirements; and
- m. Adhering to the University's regulations, policies and guidance regarding research degree programmes, including those relating to health and safety, intellectual property, and all policies relating to equality, diversity, dignity and respect of all other students and staff.

Responsibilities of the Supervisory Team

115. The responsibilities of the Supervisory Team of a research student are listed below. The Primary Supervisor should coordinate with the Supervisory Team to ensure that these responsibilities are distributed fairly between them.

- a. Ensuring the student receives an appropriate induction to the registering School/Department, the Faculty and the University (including any resources, study areas and communities);
- b. Providing satisfactory advice and guidance on the conduct of the research and on the preparation of the thesis, as well as maintaining the necessary supervisory expertise;
- c. Supporting the student with the planning of research and identifying any training and professional development needs;
- d. Monitoring the progress of the student's research programme, reporting on progress to the Progression Panels, and ensuring the student is aware of the need to submit the thesis by the specified deadline;
- e. Encouraging the student to interact with others working in the field of research,
- f. Establishing and maintaining (a joint responsibility with the student) regular contact with the student, including during any periods in which the student is working on their research away from the University, and being accessible to the student to give advice;
- g. Providing timely, constructive, and effective feedback on the student's work and overall progress;
- h. Where appropriate, helping and encouraging the student to submit conference papers and articles to refereed journals;
- i. Ensuring that, in the case of students undertaking laboratory work, there is an appropriate level of supervision and monitoring, including regular checks on data-recording and notebooks and occasional checks on the day-to-day conduct of experiments;
- j. Ensuring that appropriate ethical approval, if required, is obtained before research commences;
- k. Ensuring that the student is aware of relevant sources of advice within the University; including those relating to wellbeing and mental health, careers and the Students' Union; and
- l. Providing effective pastoral support and, where appropriate, referring the student to other sources of such support within the University.

116. Although supervisors may encourage their students to seek advice on particular topics from other members of staff, the supervisory team maintain primary responsibility for directing the research to a satisfactory conclusion.

Training and Monitoring of Supervisors

117. The University believes effective supervision is a skill that is best learned experientially, with the support of more experienced colleagues (the apprenticeship model). Schools/Departments should, therefore, encourage staff who are new to supervision to gain experience of the supervisory process through serving as secondary supervisors and on Progression Panels. A Primary Supervisor who has not seen a student through to successful completion of a doctoral research degree must be paired with an experienced Secondary supervisor.
118. All staff who are acting as Primary or Secondary Supervisors for the first time are required to complete the Strathclyde Supervisor Development Programme, delivered by OSDU, unless they can demonstrate that they have undertaken equivalent training elsewhere. All Supervisors are also encouraged to participate in other OSDU and national events and training relevant to the supervision of postgraduate research.
119. Schools/Departments should encourage those new to supervision, or in need of updating their skills and knowledge, to take a training course in Supervision. OSDU provide training opportunities for new and existing supervisors.
120. Research students should be asked about the supervision that they receive by the Convenor at every Annual Review. Schools/Departments should ensure that any problems highlighted through this mechanism are handled sensitively and appropriately by the Head of School/Department (or their delegate).

Responsibilities of the School/Department and Faculty

121. The responsibilities of each School/Department and Faculty with research students include:
 - a. Training and monitoring of supervisory teams to ensure best practice and quality supervision;
 - b. Inducting all students into the School/Department and faculty community;
 - c. Providing access for students to the appropriate working space, facilities and resources, as required;
 - d. Providing access to the appropriate equipment required to undertake their research;
 - e. Ensuring that each research student is made aware of the appropriate procedures to locate and access the above space, facilities, resources and equipment;
 - f. Provide incoming research students with the information and documentation relating to University regulations in respect of Health and Safety, Academic Dishonesty, Intellectual Property, Equal Opportunities, Equality and Accessibility, GDPR and any other relevant policies within the relevant School/Department or Faculty.
 - g. Notifying students of the procedure and timelines on supervisory processes, including the requirements for making adequate progress with their studies; and
 - h. Informing and enrolling students of any programmes which complies with University regulations in respect of the Postgraduate Certificate in Researcher Professional Development or equivalent (60 credits).

Student / Supervisor Interactions

122. The student-supervisor relationship is vital to all research degrees. Close contact between supervisors and students is therefore essential.

Academic Counsellor

123. The University requires that each postgraduate research student has ready access to a member of academic staff other than their Primary Supervisor with whom to discuss any concerns or seek advice on a confidential basis. Such discussions may include the student's relationship with their Supervisor or problems associated with the effectiveness of supervision. The role may be fulfilled by the Second Supervisor or an identified Academic Counsellor or Postgraduate Tutor (or equivalent by another title).

Appointment of Supervisors

124. At the start of each student's research programme, the Head of School/Department should nominate two Supervisors for approval by the relevant Vice Dean.

- a. One of these Supervisors should be recorded as the Primary Supervisor.
- b. Supervisors will normally be members of the academic staff (Academic, Research Teaching, Knowledge Exchange) at least one of whom shall be on Teaching and Research Grade 8 (or above).
- c. Where appropriate, the Head of School/Department may also appoint a work-based professional to act in the capacity of a mentor. This mentor will be a member of the Supervisory team but shall be exempt from training requirements.

Relationship between the Student and Supervisory Team

125. Respect, trust, confidence and fairness are essential elements of the student-supervisor relationship. Most interpersonal problems between students and supervisors can be avoided if students and supervisors contribute responsibly and professionally to their working relationship by being respectful, courteous, punctual and conscientious.

126. Students rely on contact with their supervisors for guidance and intellectual input to their research. Supervision meetings provide time for discussing all matters relating to the student's research and development, including feedback on written work and pastoral check-ins. Meetings and regular contact may take place face-to-face or online.

127. In some circumstances, supervision will be at a distance, for example, for distance learning research students, students on research trips, or during pandemics.⁵ In such circumstances, the supervisory team and the student must ensure that suitable arrangements are in place to support distance supervision, such as access to some form of communication, and, where applicable, time differences.

128. Students and Supervisors have joint-responsibility for maintaining contact as required, and at least twice in every three-month period. It is important that both the student and the supervisory team agree, at the start of the programme, how often meetings will be held and the purpose of those meetings. This can be revisited to adapt to changing circumstances. It is important that students can easily contact their supervisors for advice, so supervisors must also be available for additional non-

⁵ Please note that this list is not exhaustive.

scheduled meetings. The amount of contact between students and supervisors will vary depending on the length of the programme, how the research is being conducted, and how much support the student needs.

Absence and Replacement of a Supervisor

129. Students should be informed of who would be their first point of contact if their primary supervisor were to be temporarily unavailable. This would normally be another member of the supervisory team.
130. In the event of a primary supervisor becoming unable to continue supervising a research student, a replacement supervisor should be appointed, after consultation with the student, within one month of the primary supervisor becoming unavailable. In the meantime, the designated person (see 127) should assume the role of the primary supervisor. Heads of Schools/Departments should inform research students formally in writing if their supervisor resigns, giving information on the arrangements for continued supervision.
131. During the normal period of enrolment, if a student's research project is dependent on the supervision of a *single, specialist* member of academic staff and that member of staff leaves the University, or is otherwise unable to continue supervising the student, then the School/Department must seek to make alternative, comparable arrangements to supervise the student to complete their research degree. This may involve supporting the student's transfer to another institution or it may involve seeking comparable specialist supervision from outside the University, so that the student can complete their research degree at Strathclyde.
132. If a research student is unhappy with their supervision, or feels that the supervisory relationship has broken down, they should attempt to resolve the matter informally in the first instance. If they feel unable to discuss this directly with their supervisor (or any member of their supervisory team or progression panel), or the problem remains unresolved having done this, then they should feel free to talk confidentially about the problem with the Head of School/Department, Academic Counsellor, or other relevant departmental officer.
 - a. If the problem remains unresolved, or if the student feels unable to approach the aforementioned members of their School/Department (for instance, if the supervisor is the Head of School/Department), the student should arrange to speak in confidence to the Strathclyde Doctoral School who will advise the student on the options available to them, which might include mediation with the School/Department. The Strathclyde Students' Union can also provide independent advice.
 - b. Students who feel they have experienced inadequate supervision, or that the above process has not adequately resolved any issues, can consult the University's Complaints Procedure.
133. If there are problems with the supervisory relationship, then University staff will respect confidentiality and limit disclosures to as few colleagues as necessary to resolve the problem.
134. By mutual agreement between the research student and the School/Department, and where permitted by the terms of the Research Council (or other sponsor/funding body), supervisory responsibilities can be changed, at the request of either the research student or a supervisor.
 - a. In circumstances where the terms of the Research Council (or other sponsor/funding body) do not allow for supervisory responsibilities to be changed, the School/Department should be able to make changes to the

supervisory team, by mutual agreement of the research student and the School/Department in question.

Supervisory Process

135. The purpose and likely frequency of supervisory meetings, both formal and informal, at different stages of the research degree programme, should be agreed at the start of the research degree programme by the student and the supervisory team. Research students and supervisors are jointly responsible for ensuring that regular and frequent contact is maintained and both parties should feel able to take the initiative when necessary.
 - a. A meeting with the supervisory team, if requested by the student, should normally take place within one week.
136. Expectations around progress, supervision, training, research and submission dates should all be outlined at the first supervision meeting and revisited every six months.
137. Relevant guidance and documents on supervision can be found on the Strathclyde Doctoral School's Lifecycle SharePoint.
138. Formal supervisory meetings, at which substantial discussion of, and feedback on, research progress, plans, development and training take place, are vital for ensuring that a student's research project remains on target. The frequency of supervisory meetings will be dependent on the individual student's needs and progress but there would normally be 10 formal meetings every year.
139. Students should write up and keep a record of each formal supervisory meeting.

Student Journey

Induction

140. The University recognises that its postgraduate research students come to Strathclyde from many different parts of the world into almost all of its academic Schools/Departments and Faculties. It therefore commits to providing a full induction for all its PGR students, which includes:
 - a. Schools/Departments and Faculty welcome arrangements;
 - b. A collaborative partnership with the City of Glasgow to organise an annual welcome period, with ceremonies and events for all overseas students introducing them to the University, Glasgow and the West of Scotland;
 - c. A Welcome Week, provided in conjunction with the Students' Union;
 - d. An introduction to Strathclyde Doctoral School, the Doctoral Researchers Group, the Students' Union, and any relevant forms of student representation within their Schools/Departments or Faculty;
 - e. Guidance on all important and mandatory induction events (like Research Integrity Tutorials or similar); and
 - f. The provision of all relevant information for related events and activities related to the Induction period.
141. Schools/Departments and Faculties welcome arrangements should be put in place for all PGRs regardless of their start date.
142. Schools/Departments and Faculties induction programmes should include department-specific information on supervisory arrangements, research and skill training, networking opportunities, facilities, good research conduct, and health and

safety – including (where appropriate) health and safety while undertaking work away from the University (e.g. fieldwork and research visits).

143. Schools/Departments and Faculties should also provide all new research students with an appropriate handbook, for reference.
144. While postgraduate research student commencement dates are flexible and open to all times of the year, Schools/Departments and Faculties should, where possible, consider limiting the number of entry points to research programmes to facilitate the participation of new students in University, Students' Union and other relevant induction community-building events.
145. The University of Strathclyde PGR Induction Programme is delivered twice per academic year, for all first-year postgraduate research students. All postgraduate research students are required to attend.
146. An online orientation programme should be available for all students who cannot make the on-campus orientation.

Period of Study⁶

147. Standard minimum and maximum periods of study are set out in the table below. The minimum period of study will be used to calculate the expected submission date, and the maximum period of study will be used to calculate the final submission date. Individual Research Degree Regulations will establish if part-time study is available, and additional admissions requirements that might affect the minimum duration. Each registering student will receive confirmation of the minimum duration of their study.

Award	Full Time (months)		Part Time (months)	
	Minimum period of study	Maximum period of study	Minimum period of study	Maximum period of study
DBA	N/A	N/A	48	60
EdD	36	48	60	96
DEdPsy	24	36	N/A	N/A
EngD	48	60	96	108
DInfSci	36	48	60	72
DPharm	36	48	48	60
PhD	36	48	72	84
MPhil	12	24	24	36
MRes	12	24	24	36
PhDIntSt	48	60	96	108

148. Studentship holders should pay close attention to the duration of their funding, indicated in the formal Funding Award Letter. How this affects the management of the student's studies should be discussed and agreed between the student and the supervisory team at the outset.
149. If required, the supervisory team should take into account the period of funding available to support individual students and should encourage and support the student to complete within this period.
150. Any periods of voluntary suspension during the minimum period of study will be added to the minimum period of study and the expected submission date and final submission date adjusted accordingly.

⁶ For guidance and information of changes to registration status, see: General Academic Regulations: Postgraduate.

151. A student is required to submit their thesis within the maximum period of study. Students who receive funding that covers part or all of the completing period between the minimum and maximum period of study are still required to complete within the maximum period of study.
152. In exceptional circumstances, students can seek a regulation waiver to reduce the minimum period of study.
153. Other than in exceptional circumstances, the University anticipates that all research students will complete their degree within the maximum period outlined above.

Mode of Study

154. Regulations around changes to a research student's mode of study are covered by the *General Academic Regulations: Postgraduate Research*.
155. Students may request a transfer from full-time to part-time study, or vice-versa, by submitting an application to their supervisory team, for approval by the relevant Vice-Dean (or nominee). Transfers to a different mode of study will only be permitted in instances where the transfer does not impact on the research project adversely.
156. Students cannot change their mode of study when they have transferred to Completing status.
157. Studentship holders should consider the impact on their funding before submitting an application to change their mode of study. The impact of any relevant terms and conditions or policies of the Funding Body should also be considered by the student and the supervisory team.

Extension of the Period of Study and/or Voluntary Suspension⁷

158. Supervisors should make every effort to ensure that their research students submit their thesis within the maximum period of study set down in the Regulations.
159. In exceptional circumstances, requests for extensions may be made. Any extension request must be made in writing to the Supervisor, Head of School/Department, or by following the relevant Faculty procedure. Approval of any request for extension will be made by the relevant Faculty Vice-Dean.
- a. Where an extension is agreed, fees at the appropriate standard rate will continue to be payable.
160. Applications to suspend study must be made using the formal Voluntary Suspension Application form. Applications to suspend study will be made to the relevant Vice-Dean.
- a. The period for any voluntary suspension should not normally exceed two years. Any approval will be on an annual basis.
 - b. No fees are payable during the suspension of study.
161. The Student and Supervisor should check the Terms and Conditions of the Studentship before applying for an extension or voluntary suspension.
162. The period of studentship support may be extended at the University's discretion to offset a period of genuine absence, e.g. maternity leave, paternity leave, adoptive leave, extended absences covered by a medical certificate, extended jury service, provided additional funding can be sourced.

⁷ For further information, see the [Voluntary Suspension Guidelines](#).

163. Stipendiary payments will not be paid during Voluntary Suspension, unless on the grounds covered by UKRI or the PGR Leave Policy.
164. Guidance for supervisory teams on students returning from Voluntary Suspension can be found on the Strathclyde Doctoral School's Lifecycle SharePoint.

Medical, Maternity, Paternity, Adoption, Shared Parental, and Carers Leave

165. All Postgraduate Research Students are entitled to Medical, Maternity, Paternity, Adoption, Shared Parental, and Carers Leave. Self-funded students should consult with the [Voluntary Suspension Guidelines](#).
166. All students funded by UKRI are eligible for Medical, Maternity, Paternity and Adoption leave which is funded by the UKRI. UKRI funded students are eligible for Shared Parental Leave but not Shared Parental pay.
167. All students funded by UKRI can apply to the University's PGR Leave Fund for paid Carers Leave and paid Shared Parental Leave.
168. All students funded by UKRI can apply to the University's *PGR Leave Fund* for Carers Leave.
169. All students with non UKRI funding can apply to the University's PGR Leave fund for Medical, Maternity, Paternity, Adoption, Shared Parental, and Carers Leave.
170. Students and Supervisory teams are encouraged to read the *PGR Leave Fund Policy and Process* documents for further information on eligibility criteria, entitlement, and the application process.
171. Student Carers are encouraged to read the University's [Student Carers Policy](#) for further information on available support at the University.
172. Applicants must be fully registered at the University and be in receipt of a stipend (maintenance grant) to be eligible to apply.
173. Applicants are required to take [voluntary suspension](#) for the associated period of leave.
174. Retrospective applications will not be considered, except in cases of medical emergency.
175. There is no qualifying period for Maternity, Paternity, Adoption, Shared Parental or Carers Leave.
176. Self-funded students are not eligible to apply to the *PGR Leave Fund*.

Annual Leave, Holidays and University Closures

177. Research Students are entitled to Annual Leave and should consult with their relevant School/Department Administrator about their entitlements.
178. Research Students should advise their School/Department about any planned periods of Annual Leave.
179. In line with the [UKRI expectations](#), reasonable holidays should be allowed for by Supervisors. Full-time students are entitled to 31 days holiday per year (pro-rata value for part-time students), inclusive of public holidays and university closures.
180. Students undertaking work in collaboration with non-academic partners are expected to consider their obligations to those partners in planning leave.

Complaints and Appeals

181. The [University Complaints Procedure](#) should be consulted when dealing with complaints of an academic and non-academic nature from research students and others. The [Dignity and Respect Policy](#) should be consulted when dealing with complaints relating to harassment of any kind.
182. The University's [Personal Circumstances and Academic Appeals Procedure](#) should be consulted when dealing with appeals of an academic nature or other personal circumstances from research students or others.

Graduate Teaching

183. During their studies, a research student may, from time-to-time, be offered teaching assistant duties (such as demonstrating or teaching), or other teaching-related work within the University, for which they should receive payment (in addition to any eligible studentship-related stipends).
184. Students and Staff should consult the *Guidance for Postgraduate Research Students who Support Teaching and Teaching-Related Activities* for further information and guidance.
185. For *Supporting Guidance on the Processes around Payment and Training for Students who Teach*, staff and students should consult the relevant document.
186. The School/Department will be responsible for ensuring that the appropriate discipline-specific support/training/induction is in place and undertaken by the teaching assistants prior to undertaking duties.

Field Work

Research Away from Strathclyde

187. Research degree students may need to undertake research away from Strathclyde for a variety of reasons. This may be for data collection (e.g. fieldwork, archival work) or consultation with reference institutions (libraries, archives, museums). It may also be because they are undertaking their research in industry as part of an approved studentship or undertaking research in a partner academic institution. The ability of Students on a Student Route Visa to undertake research away from Strathclyde may be limited by UKVI rules and the University cannot override these restrictions.
188. Where a student is undertaking research away from Strathclyde, the supervisory team retains primary responsibility for maintaining oversight of the student and their research project. Supervisory meetings should continue as normal but may be held by video-conferencing rather than face-to-face. If video-conferencing is not available, the student and supervisory team should agree a method of communication. Consideration must be given as to how research training and participation in other academic activities can be facilitated while the student is away.
189. Where a student is undertaking research away from Strathclyde, formal reviews of progress must be conducted in accordance with existing regulations, and any standard attendance requirements of the relevant School/Department must be met as normal.
190. Research degree students are responsible for informing their departmental/school graduate administrator (or appropriate) when they will be conducting research away from Strathclyde, and for completing any relevant paperwork prior to travel overseas.

Administrative Systems and Monitoring

191. Student progress is monitored and formally recorded following the completion of Interim and Annual Reviews.

192. NEPTUNE is the student administration system used by the Strathclyde Business School, Faculty of the Humanities and Social Sciences, and the Faculty of Engineering. The Faculty of Science use the SPIDER student administration system.
193. Both systems notify students by email (and include relevant supervisors and administrative staff) when a progress review is due. This will invite them to start the review process by completing a set of core institutional questions online.
194. School/Departmental and Faculty Administrators are able to view reports on overall progress and generate reminders, if required, to complete outstanding progress forms and to return statistical data to the Centre.

Interim and Annual Reviews

195. The interim and annual formal reviews with students throughout the duration of study (including periods of extension) should be used to assess the progress of the student's work against the research and study plans created at the start of their programme.
196. Supervisory teams should ensure that reviews are completed on time with constructive feedback given to the student. Faculties and Schools/Departments should ensure that there is oversight of the progress for all their PGR students. Part-time students should follow the same review schedule as full-time students.
197. Students who register initially for a Masters-level programme (including 1+3 studentship arrangements) with a view to progressing to a Doctoral programme must be clearly advised that progression to the Doctoral programme is not automatically achieved by passing the Masters-level programme. They also need to demonstrate an ability to progress to Doctoral level with anticipated satisfactory performance at that level, and within an appropriate timescale especially when associated with external funding body requirements.
198. The University provides online systems for the maintenance of formal progress review records. Each student is required to sign up and date their progress record online following each session, to confirm that they have seen and understood the feedback.
199. Assessment of overall progress is based on the student's oral and written reports, on their research, and any other relevant information such as presentations, literature surveys and assessment of instructional feedback to the student on progress and whether progress is satisfactory.
200. Written records should be updated at least on a 6-monthly basis for students studying full-time (and adjusted appropriately for students undertaking non-consecutive or part-time study).
 - a. Students should be able to view their completed online review, feedback and progress decisions in line with GDPR.
201. The University has a core set of questions across the institution to be used for interim and annual reviews with supplementary Faculty-based questions. The process includes an annual review of each student by a Panel including at least one person independent of the supervisory team. Towards the end of the first year of study, this review takes the form of the Intermediate Assessment (see below).
202. If overall progress is reported to be unsatisfactory at any stage, the Supervisor will explain clearly to the student what the student needs to do, and in what time-scale, in order to rectify the situation. The Supervisor will report any instances of

unsatisfactory progress to the Head of School/Department who may take any action as necessary.⁸

- a. Failure to rectify the situation within the specified time-frame may result in termination or a change in the student's registration.

Progression

203. Each School/Department and Faculty should hold a minimum of one annual meeting that reviews the progress of all postgraduate research students.
204. The purpose of the Progression meetings is to provide oversight of the progress of all postgraduate research students, to review if supervisions and formal student reviews have taken place, and to report on the progress of the student to complete within the maximum duration of study.

Intermediate Assessment of Doctoral Candidates

205. Within twelve months of starting full-time study, or equivalent for non-consecutive, or part-time study, the Head of School/Department should carry out the formal intermediate assessment of progress against the criteria specified by the School/Department or Faculty.
206. New entrants who have successfully completed an appropriate Masters-level programme may be exempt from intermediate assessment.
207. The Supervisor will provide written details of the intermediate assessment and the relevant criteria to the student at the outset of their doctoral studies, and should work to maintain knowledge of these during the induction period.
208. Students must pass the intermediate assessment before being allowed to work towards their Doctorate.
209. The Head of School/Department, or Vice-Dean Academic, may waive the requirement for intermediate assessment for research students who have already successfully completed an appropriate Masters level programme.

Submission and Examination

210. Students should consult with their Supervisor when their thesis is ready for submission and should notify Student Business accordingly. For full-time doctoral programmes, this normally occurs three months prior to the expected date of submission.
211. Some Faculties have an 'Intention to Submit Thesis' form which must be completed within the relevant timescale relative to the formal submission. Supervisors within Faculties that have an 'Intention to Submit Thesis' form, should notify the student of this during a relevant submission or review.

Examining Committee

212. The Examining Committee normally comprises at least two active researchers; an Internal Examiner who is not part of the supervisory team and an External Examiner (two External Examiners in the case of a Doctorate by Publication), and a Convenor, who is member of academic staff but not part of the supervisory team.
213. The Head of School/Department, in consultation with the Supervisory Team, the Student, and the relevant Vice-Dean of the Faculty, nominates the members and the Convenor of the Examining Committee for endorsement by the Vice-Dean.

⁸ For further guidance, see *General Academic Regulations: Postgraduate Research* (39-43).

214. The Examining Committee should be appointed and approved before the thesis is submitted.
215. The External Examiner will, in many cases, be a senior academic in an institution of at least equivalent reputation to the University of Strathclyde in the subject area in question. They will normally be expected to have a proven publication record in the field of study.
216. In some cases (in respect of relevant programmes such as the EngD and Professional Doctorates), Examiners from industry, commerce, professional practice and other organisations may be best suited to examining the research. Additionally, an External Examiner should not normally:
- a. Be an honorary member of the University of Strathclyde;
 - b. Have been a member of honorary member of the staff of the University of Strathclyde in the three years prior to the assessment or whilst the student has been carrying out research at the University (if this is more than three years);
 - c. Have had any significant contact of a supervisory nature with the student or their research project; or
 - d. Be appointed in the relevant Faculty more than five times in three years.
217. The Internal Examiner is expected to have sufficient knowledge and understanding of the topic to enable them to judge the quality of the thesis and play a full part in the examination.
218. The Convenor will be a member of staff of the University who is not part of the Supervisory team.
219. The Convenor will not also be one of the Examiners.
220. The Convenor is responsible for convening the committee, ensuring the receipt of preliminary reports from the Examiners, and for resolving any disagreements that may arise.
221. The Convenor is also responsible for taking notes of the viva that clearly evidences the process, indicating the elements outlined below. It is not intended to be a verbatim record of the viva.
- a. A record of the topics discussed;
 - b. The time allocated to each topic area of the examination;
 - c. The time of any breaks taken; and
 - d. Any other relevant information.
222. The Convenor is responsible for returning the notes of the viva to the Directorate of Student Experience together with the External Examiners' report.

Operation of the Examining Committee

223. The Examiners scrutinise the student's dissertation or thesis and are required to submit to the Convenor an individual report prior to a meeting of the Examining Committee.
224. The Examining Committee normally conducts an oral examination for Doctoral students. For Masters candidates, the Committee may at its own discretion:
- a. Conduct an oral examination;
 - b. Meet to confirm the outcome without conducting an oral; or
 - c. Complete the assessment by correspondence.

225. For both Doctoral and Masters orals, the Convenor of the Examining Committee may, after consultation with the student, invite the Supervisors to attend the oral examination and dissertation of the examiners in a non-voting capacity.
226. In cases of a thesis being rendered unexaminable as a result of remote (i.e. third-party) printing errors or file corruption, the examiners should notify the Student Business Team as soon as possible, and no later than four weeks after receipt. The Student Business Team will contact the student to request an examinable version of the thesis originally submitted for examination, to be submitted within ten working days.
227. Where it has been agreed that the content of a candidate's thesis should not be divulged publicly, the examiners should honour the request: this may be particularly important in the case of commercially-sponsored studentships and/or where access to a thesis is to be restricted. In such cases, the candidate may be asked to provide an abstract suitable for placing in the public domain.

Recommendations, Corrections and Final Submission

Recommendations of the Examining Committee

228. The Examining Committee bases its recommendation on the student's thesis and, if appropriate, their performance in any oral examination.
229. The Examining Committee makes its recommendations to the Vice Dean for approval.
230. Recommendations and PhD Outcomes can be found in the *General Academic Regulations: Postgraduate Research (79-85)*. For a summary of the timeframes allowed for each outcome, see below:
- a. For minor or straightforward corrections, the student has a maximum of 3 months to make any changes.
 - b. For substantial or major corrections, the student has a maximum of 6 months to make any changes.
 - c. For a resubmission of the thesis (with, or without, a further viva), the student has a maximum of 12 months to make any changes.
231. The Examiners must prepare and sign a joint report that includes a summary of the viva examination.
- a. A hard copy of the form should be sent to the External Examiner, alongside the thesis and any other relevant information.
232. The Examiners' Report will *either* make an agreed recommendation *or* record particulars of any disagreement along with a proposal for resolution. The Report should provide clear justification for the Examining Committee's decision.
- a. The Report should be made available to the candidate.
233. The Convenor must report significant disagreements to the Faculty Board of Study together with a proposal for resolution. The Convenor may, in such circumstances, seek approval from the Board of Study for the appointment of a second External Examiner.
234. The Convenor will return the Examiners' Report to the Student Business Team, countersigned to certify that all the instructional elements of the course have been successfully completed, and inform the student and the Head of School/Department, of the outcome and recommendations of the Examining Committee. Student Business will forward any award recommendation to the relevant Faculty Board of Study and Senate for ratification.

235. The Student Business Team will provide a written confirmation to the candidate subject to ratification by the Board of Study and Senate.

236. For a student required to resubmit, the Convenor or Internal Examiner will communicate what further work is required.

Revision and Resubmission

237. If the examiners agree that the requirements for the degree concerned have not yet been satisfied, but there is the potential for the requirements to be satisfied, they may recommend that the thesis should be revised and resubmitted for examination. The Directorate of Student Experience will send official notification of this decision to the candidate once the examiners' report has been received and the decision has been approved by the relevant Vice-Dean. The official notification will include a copy of, or links to, the Examiner's Report.

238. Where a recommendation for the revision and resubmission of a thesis is made, the examiners should, within two weeks of the date of the oral examination, provide the candidate with advice in writing concerning the points which should be borne in mind by the candidate when revising the thesis.

239. The candidate should *not* expect to receive a mechanical list of revisions to be made, particularly when the revisions required involve major improvements in the depth, intellectual quality, analysis, argument or structure of the thesis. If the candidate requires any clarification regarding the required revisions after receipt of the examination report, the student should contact their supervisor who can then judge if it is necessary to request further clarification from the internal examiner.

240. Neither student nor supervisor should contact the external examiner directly without their express permission.

241. The University expects that a candidate will be given a fair and reasonable opportunity to revise the thesis to the required standard, whatever the circumstances of the resubmission. To this end, the candidate should be offered the opportunity of an initial meeting with the supervisor to discuss the examiners' requirements for revision. Thereafter, the need for further meetings will vary from case to case, according to, for example, the availability of the student and the extent of the revisions needed. The University accepts that there may be cases in which the student/supervisor relationship comes under strain as a result of the examiners' decision to refer the thesis; and in these cases it may be more appropriate, at the discretion of the Head of School/Department for another member of the School/Department to take on responsibility of mediating feedback.

242. Candidates in their revise and resubmit period will retain access to computing and library facilities.

Examination following revision and resubmission

243. The outcomes of the examination are the same recommendations as listed in *General Academic Regulations: Postgraduate Research (79-85)*, except that a candidate's thesis may only be revised and resubmitted on one occasion.

244. The candidate should prepare and submit for examination copies of their revised thesis as per the process for the original submission, and as specified in the University's requirements (see the relevant section for format and submission within this document).

245. The re-examination of a candidate following the revision and resubmission of the thesis will normally be conducted by the individuals who conducted the original examination. In exceptional circumstances (for example, due to a change in health or

employment circumstances of an examiner), a new examiner or examiners may need to be appointed by the Examining Committee.

246. Where an examiner must be replaced between an initial examination and a re-examination of the thesis, the second examination will normally have the same status as any other re-examination. The new examiner should have access to the original examiners' reports in order to inform their assessment, but the primary measure of success should be the academic judgement of the examiners as to whether the standards of the award have been met, rather than whether revisions outlined by the original examiner have been made.
247. The decision as to whether or not to require a candidate to attend an oral examination following the resubmission of a thesis is left to the discretion of the examiners. However, if the examiners are considering a downgrade (with or without corrections) or fail outcome, a second oral examination must be offered.
248. The decision on whether to require an oral examination should be made as soon as possible and no later than six weeks after the receipt of the revised thesis by the examiners.
249. Each examiner must submit an independent preliminary report on the resubmitted thesis, whether or not an oral examination is required. If the examiners agree that an oral examination is not required, they must specify their reasons for this decision in their preliminary report.
250. If an oral examination is held, it should be within three months of the submission of the revised thesis.

Format and Submission of Theses

251. The regulations relating to the format of theses, dissertations, designs or reports submitted in pursuance of higher degrees by research and scholarship are given below. It should be noted that they are specific in relation to two copies only and that the candidate may make whatever arrangements they wish for additional copies.

Number of Copies

252. The student is required to submit two copies (one bound and one digital).

Materials Specification

253. The materials used for the print copy shall be of high quality and conform, wherever possible, to the appropriate British or International standard. The digital copy should be a single electronic file and shall be a facsimile of the print version.

Specification

254. The print copy shall be on good quality paper of International size A4 (210mm x 297mm). The electronic file of the digital copy shall be in PDF format.

Method of Production

255. The text (including the summary) shall be in printed form and of such a quality as will ensure a high standard of reproduction. All other material submitted (e.g. computer print-outs, diagrams, and maps), shall be of concomitant quality.

Abstract

256. The thesis, dissertation, design or report shall include an abstract of the contents, not exceeding three hundred words in length, which shall be bound in at the beginning of the general text.

Title Page

257. The thesis, dissertation, design or report shall contain a title page or equivalent designator giving the name of the University School/Department or group of Schools/Departments, the title of the thesis, the name of the author, the degree and the year of submission of the thesis. Each separate component of the thesis shall contain such a title page or equivalent designator.

Declaration of Authenticity and Author's Rights

258. The thesis, dissertation, design or report shall include, on the page immediately subsequent to the title-page, the following declarations of authenticity and author's rights:

'This thesis is the result of the author's original research. It has been composed by the author and has not been previously submitted for examination which has led to the award of a degree.'

'The copyright of this thesis belongs to the author under the terms of the United Kingdom Copyright Acts as qualified by University of Strathclyde Regulation 3.50. Due acknowledgement must always be made of the use of any material contained in, or derived from, this thesis.'

Signed:

Date:

Previously Published Material

259. A candidate who submits a thesis consisting in whole or in part of previously published work for which they have been responsible must submit with their thesis a signed statement clearly defining the extent of their contribution to such work.

Previously Submitted Work

260. A candidate should not submit material which they have presented for another degree unless they consider that its omission would result in an inadequate representation of their research. A candidate who has previously submitted the material, or any part of it, for examination for a degree of the University or of another institution must declare this in writing when submitting their thesis. In this case the declaration required by 256 of this document should read:

'This thesis is the result of the author's original research. It has been composed by the author and contains material that has been previously submitted for examination leading to the award of a degree at (*institution*) in (*year*).'

Signed:

Date:

Length of Thesis

261. The length of the thesis is set out below:

- a. For Doctorates of Philosophy and Engineering – no more than 100,000 words;
- b. For Professional Doctorates – no less than 50,000 and no more than 60,000 words.

Language

262. The thesis shall be written in English. Exceptionally, the relevant Board of Study may permit submission in a language other than English, in which case a translation of the abstract into English must accompany the thesis.

Layout

263. The text shall appear on the recto side of the page only, lines double or one and-a-half spaced. There shall be a margin (before trimming) of 40mm at the left-hand (binding) edge, 25mm at the fore edge, of 20 mm at the head of the page and of 40mm at the tail. Illustrations, diagrams, tables, etc, may appear on either side of the page, whether or not the other side is blank, provided that legibility is not impaired. The margin should conform as far as possible to that specified above for text pages; in any event, there must be an adequate binding edge margin.

Pagination

264. Text pages shall be numbered in continuous sequence irrespective of volumes. Preliminary material (e.g. contents pages and abstract) and appendices may be given separate pagination. Pages on the verso side, if they bear authorised material, shall be numbered according to the facing page with the affix A.

Covers and Binding – Final Submission

265. The covers shall be board, covered in black buckram. The copy should be sewn, preferably on tapes.

Lettering – Final Submission

266. The lettering on all copies shall be in gold. On the front board shall appear the title, in 24-point capitals, and the author's name, in 18-point capitals. On the spine shall appear in 14-point capitals the author's surname, followed by the author's initials, the degree for which the thesis was submitted, and the year of submission. 14-point lower case letters shall be used in the name of the degree, as appropriate. The direction of the lettering shall run from the base of the spine.

Regulations for Submission of Theses

Submission

267. A candidate for a higher degree by research (other than the degree of DSc or DLitt) who is required under the provisions of the *General Academic Regulations: Postgraduate Research* to submit a thesis, dissertation, design or report shall submit two copies of any such work, which shall thereupon become the property of the University. In the first instance two soft bound copies of the thesis must be handed in to the Registry with a completed submission form.

268. Prior to any award being made, the candidate must submit a hard bound copy to the Registry and a digital copy must be made available to the University of Strathclyde Institutional Repository.

Supplementary Material

269. A thesis may be accompanied by supplementary material of a non-print form. Such material, where possible, shall accord with University guidelines (available from the Registry). Copies of the supplementary material shall be submitted with both the print and the digital copies of the thesis. The supplementary material to the printed copy may be submitted in a separate portfolio. The portfolio shall conform to the Regulations governing the size, binding and external appearance of theses.

Property Rights

270. The copies of the thesis in either digital or print format and any supplementary material in either digital or print format shall become the property of the University.

Consultation

271. Persons borrowing or consulting a thesis, or receiving copies of a thesis in whole or in part, must observe the author's rights set out in the declaration contained in entry 258 of this document.

Moratorium

272. For information on the availability of theses, students and staff should consult the *General Academic Regulations: Postgraduate Research* (91-95).

Final Submission

273. At the end of the University examination process all successfully awarded postgraduate research students are required to submit the following to Student Business:

- a. One hardbound version of their thesis;
- b. One completed Thesis submission form;
- c. One completed Digital Thesis Licence Agreement; and
- d. A PDF version of their thesis and any supplementary data that was required for assessment.

274. The thesis submission process is administered by Student Business.

Access Restrictions and Moratoriums

275. Guidelines on Access Restrictions and Moratoriums should be read in conjunction with the *General Academic Regulations (Postgraduate Research)* 90-94.⁹

276. Postgraduate Research Students may request moratoriums for a limited period of time for a specific reason. This may be, for example:

- a. That your thesis has been commercially sponsored, and an agreement signed which does not permit the thesis to be made publicly available; or
- b. You wish to pursue a publishing contract and publishing opportunities may be compromised by the making available of a thesis in digital form; or
- c. That the release of your thesis might endanger the physical or mental health or the safety of an individual or individuals.

277. Theses can be requested under the Freedom of Information (Scotland) Act 2002, and as such grounds for placing a moratorium can relate to one of the [exemption provisions](#) within the Act. Students should discuss FOI exemptions with their Supervisory team before submitting a completed Moratorium request form.

278. Theses can also be requested under the Environmental Information (Scotland) Regulations 2004 (EIRs). Students should discuss EIR exceptions with their Supervisory team before submitting a completed Moratorium request form.

279. Moratorium requests must be made by the thesis author or by an academic member of the Supervisory Team (usually the Primary Supervisor) to the Student Business team, via a completed moratorium request form (available on the [library webpages](#)).

- a. Approval from the relevant Head of School/Department must be sought before submitting the form to student business.

280. A formal moratorium can last for up to five years and includes the print and digital versions of a thesis.

Award

⁹Support and enquiries can be accessed through the Library's Cataloguing and Metadata team (lib.bcd@strath.ac.uk).

281. A student who satisfies the conditions of the Ordinances governing the award of degrees, diplomas and certificates and of the general regulations will, on payment of the required fees, be entitled to receive the appropriate award.
282. To qualify for the award, the student must have achieved no fewer than 60 credits of researcher development skills and have satisfied the examiners with regards to the thesis and oral examination.
283. The student will receive formal notification setting forth the details in which the award has been granted.

Graduation

284. Students who have successfully passed the examination of their thesis, and have uploaded the relevant documents, can register to graduate.
285. The student can register to graduate prior to the Examining Committee approving the award, via the online enrolment form.
- a. If the award is not approved, the registration will roll to the next set of graduation ceremonies.
286. Students can check their status through their Pegasus record, which will be updated to reflect the approval of the award.