Quality Assurance Code of Practice

Doctoral and Research Degrees

This document is primarily intended for:
Associate Deans (Research)
Faculty/School Director of Doctoral Studies
Directors of Studies
Supervisors
Doctoral Students
Assistant Registrars (Faculty/School)
Admissions Tutors
Doctoral College staff

Queries:
First point of contact & Further Advice: Doctoral College

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1 Purpose and Scope

1.1 This QA statement sets out the principles on which doctoral study provision is undertaken at the University of Bath. The statement sets out the main stages of doctoral and research degrees.

1.2 It applies to:

- Degrees based solely on research (PhD, MPhil, MD, MS)
- The research elements of Professional Doctorates (EdD, DBA, EngD, DPRP and DHealth), the Practitioner Doctorates (DClinPsy and DForenPsyPrac) or research degrees with a formally assessed taught element (Integrated PhD or a PhD programme offered via a Doctoral Training Entity (DTE)). Taught elements of these programmes will be subject to the relevant QA Code of Practice Statements

1.3 Information on the admission and recruitment of doctoral students is covered in

QA22 Recruitment, Selection and Admission of Students and Regulation 16: Doctoral and Research Degrees. Information on the engagement of doctoral students in teaching activities is set out in QA9 Professional Development and Recognition for all Staff and Students who Teach and Support Learning. Arrangements for Staff/Student liaison are covered in QA48 Student Engagement with Quality Assurance and Enhancement. Approval of new doctoral programmes with a taught element is covered in QA3 Approval of New Programmes of Study and QA20 Collaborative Provision (Taught). Where required by a Professional Doctoral Programme, QA13 Degree Scheme Review will apply.

1.4 This QA statement may need to be read in conjunction with:

- The University Regulations (in particular Regulation 16: Doctoral and Research Degrees)
- University Ordinances 19 and 21 on Examiners and Examinations

2 Principles

2.1 The University of Bath has an outstanding national and international reputation for the quality of its research, its research-led teaching and its distinct academic approach.

2.2 The University recognises that doctoral students should be fully included in research life within the Faculties/School and all Departments, and this document sets out the principles by which it seeks to ensure that a consistently high quality of education is delivered to all those registered for doctoral and research degrees.

3 Roles and Responsibilities

3.1 The following Committees and Boards have a formal role in matters relating to postgraduate research provision:

- **University Doctoral Studies Committee** is responsible to Senate for strategic coordination, the maintenance of high academic standards and the continuous improvement of the student experience for all doctoral study, including taught components of doctoral programmes and all Doctoral Training Entities;
- The **Board of Studies (Doctoral)** is responsible to Senate for the organisation of academic matters for doctoral study, including all matters concerning the Agreement of Expectations (candidature), Confirmation, progression and examination of doctoral students.
- **Faculty/School Doctoral Studies Committees** are responsible to the University Doctoral Studies Committee for the quality and academic standards of doctoral study within the Faculty/School. They are responsible for providing specialist advice in respect of the progression of individual doctoral students to the Board of Studies (Doctoral) and for liaising with Faculty/School Boards of Studies on matters concerning the quality and strategic direction of doctoral study at faculty level. They are responsible for monitoring student engagement – specifically the

membership and frequency of student staff liaison meetings (SSLMs) and for ensuring that issues raised in the meeting action trackers inform Departmental and Faculty action plans.

3.2 The following professional services/staff are responsible for supporting and overseeing particular matters in relation to postgraduate research provision:

- The **Doctoral College** is responsible for operational management of doctoral recruitment and admissions procedures; for providing administrative leadership including the management of processes relating to doctoral student progression, and quality and standards; for the identification, development and delivery of doctoral skills training, and for supporting and advising on all aspects relating to the support and enhancement of doctoral student provision.
- **Academic Registry** is responsible for overseeing the maintenance of doctoral student records in conjunction with Doctoral College administrators, and for advising on Regulatory matters and the QA Code of Practice.
- **Supervisory Teams** are responsible for ensuring that doctoral students receive appropriate guidance and support throughout their registration with the University. All Supervisors have access to the Doctoral Supervisor Toolkit, and must attend the Doctoral Supervision Workshop. All Supervisors should be aware of Student Support's advice for staff, which covers topics such as: dealing with serious incidents and supporting students (including those with disabilities). The supervisory team and the student should work together to determine the most appropriate way of supporting the student throughout the duration of their studies, this includes implementing level 1 anticipatory adjustments to any student materials, teaching learning and assessment approaches. The supervisory team are responsible for implementing level 2 and 3 reasonable adjustments that meet specific requirements or needs identified by the student when these have been developed in consultation with the relevant support services. For example, reasonable adjustments outlined in a Disability Action Plan generated in consultation with the Disability Service.
- **Lead Supervisors** are responsible for supporting their doctoral students to progress satisfactorily and in accordance with the University's Regulations and Quality Assurance expectations. Appendix 1 summarises the main responsibilities of the Lead Supervisor and supervisory team.
- **Directors of Studies** are responsible for the oversight and co-ordination of doctoral and research degrees provision across a Department or individual doctoral programme. They will review DAPs for students on their programme and ensure individual adjustments are implemented.
- **Faculty/School Directors of Doctoral Studies** promote a consistent approach across each Faulty/School and ensure that there is effective academic and operational management of the Faculty/School's doctoral programmes. They are responsible for reviewing the Agreement of Expectations (candidature), and for monitoring doctoral student progression, triaging cases where necessary to reduce the academic decision-making caseload of the Faculty Doctoral Studies Committee and Board of Studies (Doctoral). Where the School Director of Studies (Doctoral) is also the

programme Director of Studies, the Associate Dean for Research will assume this responsibility.

- The **Associate Deans for Research** act as Chairperson of the Faculty/School Doctoral Studies Committees and are responsible for promoting and co-ordinating doctoral provision within their Faculty or School. They work in collaboration with the Doctoral College to develop strategies to assure and improve the doctoral student experience and environment. They have a role in monitoring doctoral student progression, dealing with urgent paperwork via Chair's Action and supporting the triaging of cases where necessary to reduce the academic decision-making caseload of the Board of Studies (Doctoral).
- **Heads of Departments/ Dean of School** are responsible for ensuring that sufficient resources, including adequate and appropriate supervision, are made available to support provision for doctoral students in their Department/School.

3.3 **Doctoral students** are responsible for carrying out research, undertaking appropriate skills training, planning and maintaining the progress of their work towards an on-time submission, taking the initiative in raising problems or difficulties, and deciding when to submit their thesis - within the constraints of the University's Regulations. Doctoral students are responsible for informing the University of any changes to their personal contact details, including periods of fieldwork or research visits that last for more than 14 days. Appendix 2 summarises these responsibilities.

4 Recruitment and Admissions

4.1 General information about the recruitment and admission of doctoral students is available in QA22 Recruitment, Selection and Admission of Students. Specific guidance is available from the Doctoral College.

4.2 Regulation 16: Doctoral and Research Degrees sets out the admissions requirements for all doctoral and research degrees of the University.

4.3 Wherever possible, a doctoral student will be given the opportunity during the admissions process of discussing the selection of their supervisor(s) after meeting the potential supervisor(s). It is recognised that in some cases, because of the distances involved and funding arrangements, it may be necessary to agree a supervisor by correspondence.

4.4 Offer letters specify as far as possible an outline of the intended research topic and the name(s) of the proposed supervisor(s), but these are subject to confirmation at the time of approval of Agreement of Expectations (candidature) (see Section 7). In the case of Professional Doctorates, Practitioner Doctorates and doctoral degree programmes offered by Doctoral Training Entities, the research topic and supervisory arrangements may not be established until after the doctoral student has registered, so the offer letter therefore may not include this information.

4.5 International doctoral students must comply with the conditions of their visa. The Student Immigration Service team will provide immigration advice regarding Student or Tier 4 visas and the Doctorate Extension Scheme (DES) for both applicants and current students. Support for international doctoral students is outlined in QA31 Support of International Students.

4.6 In the case of Professional Doctorates and Practitioner Doctorates, where doctoral students may experience greater work-related pressures, employers are asked to provide written confirmation that they undertake to release the doctoral student for a specific amount of time per week for study. This helps ensure that study time is preserved and not eroded over time.

5 Induction

5.1 The University of Bath is committed to providing doctoral students with clear and accessible information at the time of their registration to make them aware of, and to assist them in taking full advantage of, the academic and social environment in which they will be undertaking their studies. This information is provided via the Doctoral College webpages, which feature a guide to starting your doctoral research degree, as well as general induction information; and will also be provided at central and Departmental induction events.

5.2 The Doctoral College is responsible for organising the central induction and welcome for new doctoral students; additionally advising on the arrangement of Departmental induction provision to ensure a consistent doctoral student experience across the institution.

5.3 The Doctoral College will work with the Students' Union to ensure that new doctoral students have access to an appropriate induction to the support services offered by the University and the Students' Union and are given an opportunity to network with fellow students.

5.4 Departments are responsible for arranging a local induction programme tailored to meet the needs of their doctoral student community.

5.5 Local induction programmes may include:

- a welcome pack of information about the Department or research centre.
- a Departmental source of information, providing local administrative information, as well as providing an introduction to the academic culture of the Department and the doctoral student experience whilst studying for a doctoral degree.
- an initial meeting with members of the supervisory team.
- an introduction to key people within the Department.
- social events with opportunities to meet other doctoral students, both new and current.
- sharing information about the research interests of other doctoral students across the University.
- a Health and Safety briefing.
- an initial meeting with their Subject Librarian.

5.6 Unless there is a particular and valid reason (such as provision of the main induction event online), all doctoral students are expected to participate in scheduled induction activities appropriate to their programme.

5.7 Doctoral students who are studying within a Doctoral Training Entity may be required to attend further induction events organised by their training centre, which will outline the aims and requirements of their specific training programme.

5.8 Induction events will take place at the start of the academic year and at other points when doctoral students join the University, typically at the start of the calendar year. Students will be invited to attend the next scheduled induction event. The Doctoral College will work with Academic departments and other stakeholders to ensure that doctoral students who arrive mid-year, and those studying part-time or at a distance, can receive an appropriate induction.

5.9 Between events, information for new doctoral students is provided on the Doctoral Induction webpage.

5.10 The relevant Department is responsible for ensuring that the following minimum facilities are available to all full-time campus-based doctoral students:

- a desk and appropriate chair in a suitable, non-hazardous environment.
- a reasonable amount of secure space for personal possessions.
- a reasonable amount of shelving and/or filing space.
- access to Departmental/School photocopying facilities.
- access to networked PC and associated printing facilities, as appropriate for each student's programme of research.

6 Attendance requirements and mode of study

6.1 It is important that the mode of study and attendance requirements are clearly established as early as possible following registration. A student's mode of study will be either full-time or part-time.

6.2 Regulation 16 defines the number of hours that a full-time doctoral student is expected to work on their research project (see Regulation 16.14.2). This does not include any hourly paid work (such as teaching assistant work) but does include the contracted mandatory teaching hours which form part of a paid studentship (e.g. the GRS or TAPS studentships). Workload will vary throughout the year and is likely to vary depending upon the stage of the doctoral journey. Additional hours may be necessary at times e.g. when approaching submission deadlines or conducting fieldwork.

6.3 Practitioner Doctorate programmes require a full-time mode of study.

6.4 Registration as a part-time PhD student is offered on a 0.5% 0.6 or 0.8 FTE basis. All PhD programmes that include a taught element and permit part-time study will deliver the taught phase content at 0.5% FTE.

6.5 A change of mode of study will affect the registration end date, progression milestones and submission deadlines along with tuition fee charges, studentship payment rates and student loan arrangements.

6.6 All students are advised to contact Studentships to ensure they understand the financial implications of changing mode of study.

6.7 Fractional part-time study aims to provide additional flexibility for PhD students where it is required. Permission to change mode of study to a fractional part-time rate will only be granted if the reason for the change is to:

- manage a long-term medical condition, or
- meet caring requirements, or
- facilitate long-term part-time employment.

6.8 Only one change of mode of study will be permitted in a 12-month period, and any change must be for at least 3 months' duration. A planned temporary change of mode of study of more than 3 months but less than 12 months (i.e. a change to- and then back from-) can be arranged in one request.

6.9 A change of mode of study request must include information on how the change will impact the research project, and will not be granted for the purposes of reducing the minimum period of registration, or to extend the maximum registration period, or to facilitate a placement.

6.10 A change of mode of study must be requested in advance and cannot be applied retrospectively. An approved change of mode of study will need to be processed by the following professional services departments - Doctoral College, Student Finance, Studentships and Academic Registry - and can only be implemented at the beginning of a new financial quarter, in line with existing payment schedules (this timing applies in all cases, regardless of the individual student's funding status).

6.11 The four quarterly deadlines to submit a change of mode of study request are published on the Doctoral Resource Hub.

6.12 Short-term flexible working arrangements of less than 3 months duration, and phased return to study arrangements made following a suspension should be managed via other routes and not by using a temporary change of mode of study.

6.13 Students who are visa holders must consult student immigration services before submitting a request to change their mode of study. A change of mode of studies may require a change of visa and there are different rules for visas that allow part time study.

6.14 Integrated PhD students may request to change their mode of study to conduct their research at one of the fractional part time modes of study. The Board of Studies (Doctoral) will only grant permission to change mode once the student

has entered the research phase of the programme and/or all taught units have been completed.

7 Agreement of Expectations (Candidature)

7.1 The process of approval of the Agreement of Expectations (candidature) for a doctoral student seeks to ensure that the topic of research and supervisory arrangements are clearly defined as soon as possible following the student's registration (see Section 9 for supervisory requirements). It is particularly important that the attendance requirements are clearly established as early as possible following registration.

7.2 The Agreement of Expectations (candidature) form is accessed via SAMIS, and sections will be completed by the student, supervisor and Director of Studies.

7.3 A doctoral student's Lead Supervisor is responsible for ensuring that all the arrangements and information required for the approval of the Agreement of Expectations (candidature) are in place as soon as possible after the student has registered.

7.4 The Lead Supervisor is also responsible for ensuring that the finalised thesis title is approved by the Board of Studies (Doctoral) as soon as possible.

7.5 Any substantive changes to the thesis title or project description that occur later during the student's registration will also require formal approval.

7.6 The final thesis title must be confirmed in the documentation in which approval for the appointment of the Board of Examiners is sought (Section 15).

7.7 All doctoral students are required to demonstrate on their Agreement of Expectations (candidature) form that they have considered the ethical implications of their planned research project. Supervisors will provide guidance to students on the appropriate public, professional or funding body requirements that must be considered at this point.

7.8 The doctoral student, Lead Supervisor and Director of Studies are jointly responsible for completing the Agreement of Expectations (candidature) form, via SAMIS. The Agreement of Expectations (candidature) form should normally be submitted within one month (full-time students) or three months (part-time students) of the student's initial registration. Where it is not possible to submit the Agreement of Expectations (candidature) form within this time, a report should be made to the Faculty/School Doctoral Studies Committee, outlining progress with the submission.

7.9 Where doctoral students are registered for doctoral programmes that include a taught element, the Agreement of Expectations (candidature) form must be submitted in accordance with the particular programme regulations and normally within one month (full-time students) or three months (part-time

students) of the student embarking upon the research element of the programme.

7.10 The Faculty/School Doctoral Studies Committee is responsible for confirming the details of the Agreement of Expectations (candidature) and for ensuring that:

- the candidate is appropriately qualified
- the proposed programme of research work can be completed within the timescale allowed, and to the depth required, to obtain the degree for which the candidate is ultimately expected to be registered
- proper supervision can be provided and maintained throughout the research period
- any ethical issues that are likely to be raised by the research have been considered by the student and supervisors
- the appropriate resources are available
- That the student has completed the mandatory training in Academic Integrity and passed the associated test
- the candidate's training requirements are clearly established and that any supplementary studies are identified
- a date for the candidate's first attempt at Confirmation of PhD registration is set, normally within twelve months of the candidate commencing the research phase of their programme, and communicated to the candidate and the Lead Supervisor

7.11 Should the Faculty/School Doctoral Studies Committee have concerns about any aspect of the Agreement of Expectations (candidature) as set out on the form, these should be referred to the Director of Studies for resolution. Where necessary the Director of Studies should refer to the supervisor and/or doctoral student as appropriate. In the event that the Director of Studies is a member of the student's supervisory team, the Faculty/School Director of Doctoral Studies should be consulted instead. In the event that the Faculty/School Director of Doctoral Studies is also a member of the supervisory team, the Associate Dean for Research should be consulted.

8 Collaborative Provision

Scope and Definitions

8.1 Collaborative provision denotes educational provision leading to an award, or to specific credit, of the University of Bath delivered and/or supported and/or assessed through an arrangement with a partner organisation.

8.2 Within doctoral and research degrees provision collaborative activity takes two main forms: individual student-based, and programme-based:

- **Student-based**: students who are registered on an individual basis for a doctoral award at another university conduct research at Bath, and students registered on an individual basis for a doctoral degree awarded solely by the University of Bath conduct some or all of their research elsewhere

- **Programme-based**: students who are registered on a doctoral programme run by the University of Bath and at least one other institution and where the award(s) is/are made either by one institution, or separately by more than one institution

Principles and Overview

8.3 The University of Bath is committed to supporting enriched doctoral student learning experiences through collaborative provision where appropriate, whilst working to ensure the overall academic standard of the awards conferred by the University of Bath and the quality of the learning experiences and associated support for students.

8.4 The University takes a risk-based approach to developing and managing its collaborative activity, whereby effort expended will be proportionate to factors such as the nature of the partner organisation, and the complexity of the arrangements, thereby ensuring that the quality and standards of all collaborative provision will be as rigorous, secure and open to scrutiny as those for programmes delivered entirely by the University of Bath.

8.5 The development of collaborative doctoral provision should be set within the context of the Doctoral College Plan, the University strategy.

8.6 The process for approving new **joint** doctoral and research degrees (resulting in either a joint qualification, double/multiple qualification or a dual award qualification) is described in detail in QA20 Collaborative Provision, within annexes L and M. However, the University does not support proposals for joint doctoral and research degrees on an individual basis (for individual students) except in very exceptional circumstances (see QA20).

8.7 The development of collaborative arrangements involving international partners should be set within the context of the University's strategy helping to develop and maintain institutional and Departmental/School links and long-term multi-stranded research, teaching and knowledge-transfer partnerships with internationally renowned research-intensive universities around the world.

8.8 The University does not permit serial arrangements i.e. where a partner of the University offers approved collaborative provision to a third party.

Roles and Responsibilities

8.9 Arrangements made on a student-by-student basis are subject to scrutiny by the Faculty/ School Doctoral Studies Committee under the processes described in Section 7 Agreement of Expectations (candidature) of this statement.

8.10 Arrangements which are programme-based require wider scrutiny and approval, and responsibilities depend upon the extent to which the programme includes formally assessed taught elements.

8.11 A member of Department/School staff should be identified as being the Lead Proposer of a collaborative proposal (this should usually be an academic member of staff). This person is responsible for managing the process of approving the proposal; acting as a key liaison person with the proposed collaborative partner; and for overseeing the monitoring, review and renewal of the arrangement once approved. Where a lead person leaves the University the responsibility for overseeing the arrangement will rest with the Faculty/School Associate Dean for Research until a replacement is identified.

8.12 Staff from the following areas are responsible for providing advice, as appropriate, as part of the process of considering a proposal, as appropriate:

- The relevant academic Department(s)
- The relevant Faculty/School executive
- Doctoral College
- International Relations Office
- Academic Registry
- Student Immigration Service
- Legal Office
- Finance
- Policy and Planning

8.13 The following committees are responsible for scrutinising the strategic advisability and/or academic case for a collaborative arrangement at programme level:

- **University Doctoral Studies Committee** is responsible for giving strategic consideration to proposals from the School/Departments for academic collaboration and for recommending proposals to the Academic Programmes Committee (including new Doctoral Training Entities)
- **Academic Programmes Committee** is responsible for recommending to Senate for approval of new partner organisations and for giving initial approval for doctoral and research degrees collaborative arrangements. It is also responsible for approving amendments, renewals and termination of any collaborative arrangements
- **Senate** is responsible for giving strategic approval to new partner organisations. Senate is also responsible for the academic standards of all programmes leading to an award of the University of Bath

8.14 In the case of programmes involving significant formally-assessed taught elements (for example Integrated PhD programmes, Practitioner Doctorate and Professional Doctorate qualifications), **Faculty/School Learning, Teaching and Quality Committees** are responsible for scrutinising the taught elements of proposals for collaborative partners to deliver new or existing programmes, proposals for amending such arrangements, and proposals for renewing such arrangements, and providing comments to the University Doctoral Studies Committee, which will consider the proposal in its entirety.

8.15 **University Doctoral Studies Committee** is responsible for scrutinising proposals for collaborative partners to deliver new or existing programmes, proposals for amending such arrangements, and proposals for renewing such

arrangements, and to make recommendations to the Courses and Partnerships Approval Committee (CPAC);

8.16 **Courses and Partnerships Approval Committee (CPAC)** is responsible (following recommendation from University Doctoral Studies Committee), for approving proposals for collaborative partners to deliver new or existing programmes, proposals for amending such arrangements and proposals for renewing such arrangements;

8.17 **Education, Quality and Standards Committee (EQSC)** is responsible for overseeing the success of collaborative arrangements and for the effectiveness of the approval, amendment, renewal and withdrawal procedures set out in this statement. University Doctoral Studies Committee is responsible for advising Education, Quality and Standards Committee in this area.

8.18 The approval process for programme-based collaborative doctoral and research degrees is set out in QA20 Collaborative Provision. Please refer all queries to Academic Registry.

9 Supervision

9.1 The University of Bath is committed to providing each doctoral student with supervisory arrangements that provide appropriate support and guidance to facilitate successful study. A supervisory team must be appointed for every doctoral student.

9.2 The aim of establishing a supervisory team is to ensure that each doctoral student has access to a breadth of experience and knowledge not only in their discipline(s) but also in terms of general doctoral training and support. Further to this, the range of experience and knowledge across the supervisory team will mean that a doctoral student always has access to someone with experience of supporting student(s) through to successful completion of their degree.

9.3 The supervisory team should be constituted in accordance with the principles set out in Regulation 16: Doctoral and Research Degrees in order to provide advice and support in relation to the research topic, training requirements and pastoral care.

9.4 The supervisory team are responsible for providing appropriate levels of pastoral care and signposting students to further sources of support within the University. The allocation of specific roles within the supervisory team is left to the discretion of Departments/School, in recognition that this may vary according to the discipline and the student's needs.

9.5 The Lead Supervisor is responsible for ensuring that the newly formed supervisory team discuss and agree their respective roles within the team. Aspects of this arrangement will be captured in the candidature form.

9.6 In cases where the team includes a Supervisor or Lead Supervisor who is new to supervision, a more experienced member of the team will assume responsibility for mentoring the new supervisor.

9.7 The Director of Studies must ensure that the nominated supervisory team meets the criteria stated in Regulation 16: Doctoral and Research Degrees, and that there is sufficient academic expertise available in order to:

- make reasonable provision for continuity of supervision for the expected duration of the student's registration
- allow for internal examiner(s) to be appointed from outside the supervisory team for the final submission
- where applicable, allow for examiners of the PhD Confirmation report to be appointed from outside the potential supervisory team

External Supervisors

9.8 Inclusion of an additional external supervisor may be required in the programme regulations or indicated by the individual student's circumstances, The need for an external supervisor must be outlined in the candidature form submitted to the Faculty/School Doctoral Studies Committee, and internal supervisors must also be appointed. The Faculty/School Doctoral Studies Committee must be satisfied that provision has been made for adequate contact between the internal and external supervisors.

9.9 The Departments/School are responsible for ensuring that any newly appointed external supervisor is made aware of the requirements of the role and the University guidance relating to it by directing them to this document and Regulation 16: Doctoral and Research Degrees.

Confirming the appointment of a supervisory team

9.10 The provisional supervision arrangements for PhD (or MPhil) applicants should normally be stated in the formal offer letter (see section 4), and any subsequent changes made before initial registration notified to the applicant in writing, and to the Doctoral College, so that the Doctoral College may change the student's record in conjunction with Academic Registry. Applicants to programmes that include a taught first stage will receive notification of supervisory appointments at a suitable point as they progress.

9.11 When the Agreement of Expectations (candidature) of the doctoral student is submitted to the Faculty/School Doctoral Studies Committee (see Section 7), this must include a statement from the Director of Studies confirming that the supervision arrangements conform to the criteria set out in Regulation 16: Doctoral and Research Degrees.

Changes to the supervisory team

9.12 Changes to supervisory arrangements made after the approval of the Agreement of Expectations (candidature) require a further statement by the Director of Studies that the criteria set out in Regulation 16: Doctoral and

Research Degrees have been met and will need approval by the Board of Studies (Doctoral).

9.13 In cases where a supervisor is on formal leave of absence for a period in excess of two months or, exceptionally, is no longer able to supervise the doctoral student for other reasons, the Director of Studies will make appropriate recommendations to the Board of Studies (Doctoral) to provide for the continuance of supervision. This should be done in a timely manner, and wherever possible, prior to the actual departure of the original supervisor.

9.14 In cases where a supervisor leaves the employ of the University and wishes to retain contact with the research project they may be appointed as an external supervisor in addition to the usual two (internal) University of Bath-based supervisors of the supervisory team.

9.15 Where a supervisor is absent for a more limited time, arrangements should be made for a deputy to undertake the duties of the Lead Supervisor on a temporary basis. It may be appropriate for another member of the team to occupy the role of Lead Supervisor on a temporary basis. The doctoral student should be consulted when changes of this kind are being made to supervisory arrangements and should be kept informed of any changes made.

9.16 Details of procedures for resolving problems that may arise in the supervisory relationship, including conflicts of interest, are detailed in Section 22.

10 Establishing a Programme of Work

10.1 It is important that the doctoral student and Lead Supervisor establish early in the student's studies clear expectations about the timing and requirements of the programme, including academic milestones, progression points and mandatory training, in addition to generating a work plan to an on-time submission of the thesis, in order to minimise difficulties later.

10.2 At the start of a doctoral student's studies, the student and the Lead Supervisor should discuss and agree the following:

- a schedule of regular formal meetings (these may be supplemented where appropriate by more frequent informal meetings)
- supervisory team and student work patterns, including any planned periods of leave (e.g. sabbatical, parental)
- suitable methods of contact between them and reasonable response times
- any formal courses of study or seminars, colloquia, etc. that the doctoral student is required to attend and/or be assessed in and, where stated in the scheme of studies, successfully complete as part of the programme (see 10.4 below)
- a date by which the first of the 6-monthly progress reports should be completed
- a date for the completion of the programme of work required in connection

with the first progression point for that doctoral degree (see Section 13)
- a workplan that will meet the School/Faculty expectations for Confirmation (or the next progression point of the doctoral degree), including those relating to the mandatory researcher skills training
- where there is a budget associated with the project work, the supervisor and doctoral student should plan and agree the expenditure arrangements
- potential publishable outputs, and the most appropriate format for the thesis or portfolio
- a date for the submission of the completed thesis/portfolio which must comply with the timescales set out in University Regulation 16: Doctoral and Research Degrees, and should be considerably before the expiry of the maximum period of registration, in order to allow time for examination and, where necessary, corrections, before the registration is normally due to expire

10.3 It is expected that, throughout the course of the research degree, the supervisory team and the doctoral student will periodically revisit the discussion points above.

10.4 Where doctoral students are registered for a degree with a formally assessed taught element which must be successfully completed, the timings within the programme of work for Agreement of Expectations (candidature) (see section 7), Confirmation of PhD registration status (see Regulation 16: Doctoral and Research Degrees) and progress review meetings (see section 12) may, within reason, be different from those outlined in this statement, but must be in accordance with the approved scheme of studies.

Orientation

10.5 At the start of the project the supervisory team should take action to acquaint the doctoral student with their home Department or School; introducing them to the local academic culture, key contacts, and the facilities available. For cross-departmental or interdisciplinary projects, the second supervisor may be required to take an active role in these orientation activities.

10.6 It is important (as at all stages) to consider how part-time students, those studying from a distance and those on interdisciplinary projects can be fully orientated into the department(s). Within departments that operate a peer mentoring or buddy system, the local co-ordinator will introduce newly arrived doctoral students to the scheme.

Career planning

10.7 The Lead Supervisor is responsible for signposting their students to the Careers Service and MyDoctoralDevelopment for support on career planning, where necessary. All doctoral students should be strongly encouraged to access Careers Education, Information, Advice and Guidance (CEIAG) provision before, during and after their time at University.

Skills development for doctoral students

10.8 The Lead Supervisor is responsible for undertaking a training needs analysis and discussing requirements for skills training and personal development planning with a new doctoral student at the beginning of their studies and at least on an annual basis.

10.9 The researcher skills training programme for doctoral students at the University is mapped against the internationally recognised Researcher Development Framework (RDF) which should be used when planning research postgraduate development. The Lead Supervisor is responsible for bringing to the attention of their doctoral students any appropriate training opportunities available at the University of Bath and, where appropriate, outside of the University of Bath.

10.10 The MyDoctoralDevelopment programme of courses and workshops is coordinated by the Doctoral College. The programme covers University level generic skills provision, and content is informed by doctoral student and research staff feedback. Doctoral students and supervisors can seek information about training courses from the Doctoral Training and Development Manager (Doctoral College), including details of any courses offered by GW4 partners (University of Bristol, Cardiff University and University of Exeter), that are open to University of Bath students.

10.11 The Skills Centre offer support in all aspects of academic writing. The University of Bath's central services (Library, Computing Services, and Careers Service) offer a wide variety of skills training. In addition, Faculties and the School coordinate development opportunities and training programmes for doctoral researchers in their discipline.

Mandatory training

10.12 In accordance with the University's Code of Good Practice in Research Integrity and in order to be permitted to progress with their doctoral degree, all doctoral students are required to complete researcher integrity training (provided by the UK Research Integrity Office (UKRIO))

- complete academic integrity training and pass the associated test (Moodle)
- produce a data management plan
- submit an application to Ethics@Bath for consideration and (where appropriate) obtain ethics committee approval for their research project.

10.13 In addition, completion of the training specified in the Agreement of Expectations (candidature) for the first 12 months (15/20/24 months if studying at 0.8, 0.6 or 0.5 FTE) of a PhD student's registration is a condition of confirmation of their registration status.

10.14 Some Doctoral Training Entities may require additional formal monitoring of training activities.

Ethics

10.15 Completing an Ethics@Bath application will indicate whether the planned research project will require full ethical approval through one of the University's Ethics Committees.

10.16 In such cases, permission to undertake the project must be obtained from the appropriate ethics committee before the doctoral student starts collecting data or is permitted to pass a progression milestone, (whichever occurs soonest).

10.17 Evidence of ethics committee approval must be included as part of the Confirmation submission (for PhD students) or be provided at an appropriate point for the Professional Doctorate and Practitioner Doctorate programmes prior to any research data collection.

Data management

10.18 In accordance with the University's Research Data Policy, data management plans must be written for all research projects. The data management plan is intended to be a 'live' document and should be periodically updated and reviewed throughout the duration of the research project. The Library research data team are able to provide advice on this topic, and training courses on Research Data Management are run repeatedly throughout the year.

10.19 The data management plan must be included as part of the Confirmation submission (for PhD students) or be provided at an appropriate point for the Professional Doctorate and Practitioner Doctorate programmes (stated in programme specifications).

Sponsor's requirements

10.20 Staff and doctoral students working on projects funded by external sponsors should make sure they are fully aware of the conditions of the funding including the title to- and protection of- the intellectual property rights in the results.

10.21 Advice and guidance in the negotiations of, and compliance with, such contractual obligations is available from Research and Innovation Services, the Studentships Team, and the University Legal Office as appropriate. The Alumni team can advise on donor-funded studentships. See also Ordinance 25 'Intellectual Property'.

11 Leave and Suspension of study

11.1 If a doctoral student is unable to work for any significant length of time because of circumstances largely beyond their control, a suspension of study may be granted for a period of up to 12 months (see Regulation 16: Doctoral and Research Degrees). Applications should be made to the Board of Studies (Doctoral). As soon as the situation arises, students should contact the Doctoral College to begin the application process.

11.2 All university funded students as well as UKRI Training Grant holders can claim up to 28 weeks of sick pay. Students funded from certain external

sources may also be eligible to claim sick pay and should contact the Studentships team studentships@bath.ac.uk for advice.

Holiday and leave entitlement

11.4 The Maternity, Paternity, Partner and Adoption leave policy for research students outlines parental leave entitlements and stipend allowances for doctoral students following the birth or placement of a child.Student parents may take up to one month of family leave per annum in order to provide care to a child to whom they are a parent/ carer. No stipend will be paid during this period.

12 Review and Progress Arrangements for Students

12.1 Regular review of the progress of doctoral students is necessary to ensure that students are progressing satisfactorily with their research work and the training specified on the Agreement of Expectations (candidature) form. This also enables both doctoral student and supervisor(s) to identify any potential problems at the earliest opportunity and to help ensure that work is completed to an agreed timescale.

12.2 The Director of Studies is responsible for ensuring that doctoral students are advised at the start of their studies of the schedule and procedures for undertaking reviews of students' progress in that Department/School.

12.3 The Programme Specifications for the Practitioner Doctorates, Professional Doctorates and PhD programmes with a formally assessed taught element will set out the requirements for meetings of the doctoral student and the supervisory team, and attendance at any campus based residentials or placements.

12.4 Doctoral students and supervisors must agree on the form and frequency of other progress reports which may be required.

12.5 If a supervisor is dissatisfied with the progress being made by a doctoral student then this should be brought to the attention of the student at the earliest opportunity and, wherever possible, in time to consider ways of resolving issues ahead of submission of a formal review report.

12.6 If a doctoral student is dissatisfied with progress, whether due to reasons beyond their control or because of difficulties in establishing an effective working relationship with the supervisor, the Director of Studies should be informed by the student of these problems as soon as possible. In the event that the Director of Studies is a member of the student's supervisory team, the Faculty/School Director of Doctoral Studies should be informed. In the event that the Faculty/School Director of Doctoral Studies is also a member of the supervisory team, the Associate Dean for Research should be consulted.

12.7 In the event that this action does not resolve the matter, the doctoral student may approach the University Independent Advisor for Postgraduate Research students (see Section 22).

12.8 The supervisor is responsible for ensuring that formal six-monthly progress review reports are completed on time and submitted to the Faculty/School Doctoral Studies Committee (in accordance with the schedule in Regulation 16: Doctoral and Research Degrees).

12.9 The Faculty/School Director of Doctoral Studies is responsible for giving appropriate scrutiny to the progress review reports and will highlight specific cases to the Faculty/School Doctoral Studies Committee for further discussion. Where the Committee has concerns, these should be referred to the Director of Studies for resolution. Where necessary the Director of Studies should refer to the supervisor and/or doctoral student as appropriate. In the event that the Director of Studies is a member of the student's supervisory team then the Faculty/School Director of Doctoral Studies should be consulted instead. In the event that the Faculty/School Director of Doctoral Studies is also a member of the supervisory team, the Associate Dean for Research should be consulted. If support from the Departmental and/or Faculty DoS does not resolve the situation and the Committee remain concerned about progress, they will refer the case to the Board of Studies (Doctoral) to consider the candidate's suitability to remain registered on the programme.

13 Progression points

13.1 Confirmation of PhD registration is a significant indicator to a doctoral student and supervisor(s) of the student's progress and potential. Regulation 16: Doctoral and Research Degrees sets out the usual timescales for completion of this academic milestone

13.2 Where a Confirmation decision is being made outside the timing recommended in Regulation 16: Doctoral and Research Degrees the Board of Studies (Doctoral) should set a new time limit and monitor progress at each subsequent meeting.

13.3 Supervisors should ensure that probationer PhD candidates are aware of the Departmental/Faculty/School/Doctoral College guidelines regarding the contents of the Confirmation report.

13.4 Procedures relating to allegations of assessment offences during the examination process are set out in QA53 Examination and Assessment Offences. Procedures relating to allegations of plagiarism in the Confirmation report are set out in the procedure for inquiring into allegations of misconduct in research and scholarship.

13.5 The requirements to successfully confirm PhD candidature are outlined in Regulation 16: Doctoral and Research Degrees.

13.6 In order to recommend confirmation of PhD registration status, the Progression Board of Examiners must submit a written report to the Board of Studies (Doctoral) confirming that the student has:

- been the subject of a written report from the Lead Supervisor conveying satisfactory progress by the student. The report should include a description of the work, the value of the work completed and the potential displayed by the student and
- submitted a satisfactory report on the work, together with an outline of the research to be undertaken in the remaining period of registration and a signed declaration that the work is the student's own, other than where specifically indicated and
- passed at an appropriate standard an oral examination conducted by the Progression Board of Examiners. The student may be required to give a presentation as part of the oral examination

13.7 Before the written report can be sent to the Board of Studies (Doctoral) for consideration, the Director of Studies will be responsible for confirming that the training outlined at candidature has been completed, and that (where applicable) ethics committee approval has been obtained, and if not, that there is a plan in place for the student to do so.

13.8 Further information about Confirmation is given in Appendix 5, and both students and supervisors should read the Confirmation guidance document located within the Doctoral Resource Hub.

13.9 Progression arrangements on the Professional Doctorate programmes are set out within the specific programme regulations.

Progression on Professional Doctorate programmes

13.10 Programmes such as the EdD, DBA, DPRP, and DHealth require the student to undergo a progression checkpoint prior to entry onto the research stage; when satisfactory completion of the taught units must first be confirmed by the Board of Examiners. Completion of the mandatory training in Researcher Integrity and completion of a data management plan will be confirmed at this checkpoint.

13.11 On the Practitioner Doctorate programmes, completion of the mandatory training elements will be checked at the relevant exam board.

13.12 Procedures for making an academic appeal against the outcome of the progression examination process are set out in Regulation 17.

14 Preparation of a thesis for submission

14.1 A thesis/portfolio must be presented to the standard expected for a University of Bath doctoral degree and meet the requirements for the award of that degree set out in Regulation 16: Doctoral and Research Degrees.

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14.2 Additional expectations will be set out in programme regulations for the degree.

14.3 The doctoral student is responsible for

- ensuring that any reports and the final thesis for presentation to the supervisor(s) have been prepared in a professional manner
- preparing the thesis for formal submission and ensuring that it conforms to the format required by the University (as set out in the Specifications for Doctoral and Research Degrees Theses and Portfolios (Appendix 6 to this statement)). Doctoral students can seek additional guidance on the structure of the thesis and on the presentation of tables, references, figures etc. from their supervisor
- deciding when submission is to be made (subject to the constraints set out in Regulation 16: Doctoral and Research Degrees and before the date of expiry of the student's registration), taking due account of the supervisor's opinion. The supervisor's agreement to a submission should not be taken as an indication that the Examiners will find the thesis acceptable for the award of a degree
- giving at least two months prior notice to the Doctoral College, of the intended date of submission. This is done via the Notice of Intention to Submit a Thesis for a Research Degree form (HD1) which is accessed via the SAMIS in-tray
- providing written certification that the work presented in the thesis is the student's own, other than where specifically indicated

14.4 A thesis/portfolio must be presented to the standard expected for a University of Bath doctoral degree and meet the requirements for the award of that degree set out in Regulation 16: Doctoral and Research Degrees.

14.5 The Lead Supervisor is responsible for advising the doctoral student on the format of the thesis to be adopted and for carrying out a critical reading of the draft thesis. On the request of the student, the Lead Supervisor should read a complete draft of the thesis and advise the student of any changes or additions that should be made prior to submission.

14.6 The doctoral student should give the supervisor as much notice as possible (not less than two weeks) of submission of the draft thesis and at least six weeks for reading the draft thesis.

14.7 The supervisor's opinion is only advisory and the student has the right to decide when to submit (subject to the requirements of Regulation 16: Doctoral and Research Degrees) and whether to follow the advice of the supervisor.

14.8 Guidance on preparing to submit your thesis/portfolio can be accessed via the Doctoral Resources Hub.

14.9 The process for the formal submission of a thesis is detailed in Appendix 6 of this document. A thesis or portfolio should be formally submitted to the Doctoral College submission portal on Moodle.

14.10 A viva voce (oral) examination is mandatory once a doctoral candidate has submitted their thesis/ portfolio (with the exception of MPhil, DSc and DLitt). The compulsory viva voce examination serves to establish that the candidate can defend the content of the thesis or portfolio and that they fully understand the implications and context of its main findings or argument.

15 The Board of Examiners for the Award

15.1 The University is committed to fair and consistent examination processes. It seeks to achieve this by:

- providing clear information about examination processes to both candidates and Examiners
- incorporating into the role of the External Examiner an explicit expectation that the External Examiner will monitor and report upon the fair and consistent treatment of students
- Utilising, where required, an independent chairperson in accordance with the criteria outlined in Regulation 16: Doctoral and Research Degrees

Roles of the Examiners

15.2 The role of the External Examiner is to:

- examine the candidate's suitability for the award of the research degree in question
- enable the University to ensure that its degrees are comparable in standard with those awarded by other universities in the United Kingdom in similar subjects
- verify that the standards expected of successful candidates are appropriate for the level of the award
- monitor and report on the proceedings of the Board of Examiners and in particular on whether these ensure that candidates are treated fairly and consistently

15.3 The role of the Internal Examiner is to:

- examine the candidate's suitability for the award of the research degree in question
- ensure that the examination is conducted in accordance with the University's Regulations and Quality Assurance procedures
- verify that the standards expected of successful candidates are appropriate for the level of the award

15.4 Information on the examination of taught elements of Professional Doctorates is available in QA12 External Examining (Taught Provision), QA28 Conduct of Examinations and QA35 Assessment Procedures for Taught Programmes of study.

15.5 Members of the supervisory team will not normally be present at a viva voce examination, unless the candidate notifies the Doctoral College on form HD2 at the point of submission of the thesis that they wish a member of the supervisory team to attend. A member of the supervisory team who has been permitted to attend a viva voce examination must not take any active part in the viva voce examination.

15.6 It is the responsibility of the Head of Department/School or Director of Studies, after consultation with the supervisory team, to recommend appropriately qualified individuals in accordance with the criteria set out in Regulation 16: Doctoral and Research Degrees to the Board of Studies (Doctoral) for appointment to the Board of Examiners. The Head of Department/School or Director of Studies should complete the Appointment of Examiners (Doctoral Research Degrees) (PGR13) when nominating individuals.

15.7 The qualifications and current employment of the proposed External Examiner will be on the nomination form for review by the Board of Studies (Doctoral), and these details will be recorded in the meeting papers.

15.8 Senate is responsible for formally confirming the appointment of appropriately qualified individuals.

15.9 Following appointment of the Examiners the Doctoral College is responsible for ensuring that the following is sent to each of the Examiners:

- the thesis to be examined
- the document 'Guidelines for Examiners'
- a copy of, or a link to access, Regulation 16: Doctoral and Research Degrees and QA7: Research Degrees (for reference if needed)
- the composition of the Board of Examiners
- report form and pre-viva report form
- External Examiners only: expense claim form and a list of reimbursable expense limits

15.10 Departments/the School are responsible for the authorisation of the payment of expense claims. Departments/School are also responsible for the authorisation of the payment of External Examiners on completion of their duties.

16 Pre-viva report

16.1 All Examiners are required to independently complete a preliminary report recording their initial thoughts about the work presented for examination. The preliminary reports must be submitted to the Doctoral College at least one week before the examination is due to take place and before any discussion between the Examiners occurs. It is the responsibility of the Director of Studies to ensure that the completed forms have been submitted.

16.2 Preliminary reports must be completed for all research submissions, including the submission of a revised thesis (even if the Examiners do not require a

second viva voce examination to take place). If the Director of Studies is an Examiner, the forms should be submitted to the Faculty/School Director of Doctoral Studies.

16.3 Examiners should note that, in accordance with Data Protection legislation, the preliminary reports may be made available upon request to the candidate after the examination has taken place.

17 Procedure for a viva voce exam

17.1 A viva voce examination is required in all cases following submission of doctoral work for examination.

17.2 The viva voce examination should normally take place within three months of the submission of the thesis/portfolio. The candidate must be advised of the date of the viva voce examination as soon as possible after the thesis has been submitted. As a minimum, the candidate must be given at least one week's notice of the date of the viva voce examination.

17.3 The venue for the viva voce examination should be appropriate. In particular, consideration should be given to providing a quiet, comfortable environment free from interruptions. It is expected that viva voce examinations will be held at the University of Bath. Where there appears to be a compelling case for holding the examination elsewhere, advice should be sought from the Doctoral College.

17.4 Video conferencing facilities may be used in viva voce examinations when either an Examiner or the candidate is based at such a distance from the University (normally outside the UK) that they are not able, for reasons of prohibitively high cost, difficulties of time or restricted mobility, to travel to the University of Bath in order to conduct or participate in a viva voce examination at an appropriate time. Details about the procedures for video conferencing are available in Appendix 3.

17.5 The Lead Supervisor (or a member of the supervisory team) should be in attendance when the candidate is informed verbally of the Examiners' recommendations.

17.6 All Examiners must be present when the candidate is informed verbally of the recommendation following the viva voce examination. It should be made clear to the candidate that the oral communication has no authoritative significance until the recommendation of the Examiners has been approved by the Board of Studies (Doctoral).

17.7 Following the viva voce examination, the Board of Examiners should complete the appropriate Examiners' Report Form, which summarises its deliberations and recommendations to the Board of Studies (Doctoral). In

accordance with Data Protection legislation the Examiners' Report Form may be made available to the candidate after the examination has taken place.

17.8 It is the responsibility of the Director of Studies to ensure that as soon as possible after the examination, and in no case more than two weeks later the Examiners provide for the candidate and the Lead Supervisor clear written notification of:

- the Examiners' unconfirmed recommendation, and
- the details of the additional work, if any, required
- the recommended timeline for the completion of any required additional work (subject to approval by the Board of Studies)

17.9 In this written notification, it should be made clear that the decision of the Board of Examiners has the status of an unconfirmed recommendation to the Board of Studies (Doctoral).

17.10 The candidate will be formally notified in writing of the decision of the Board of Studies (Doctoral) by the Secretary to the Board of Studies (Doctoral).

17.11 The Board of Studies (Doctoral) will regularly scrutinise External Examiner comments on the examination process and take appropriate action in light of these comments.

17.12 The procedures for making an academic appeal against the outcome of the examination process are set out in Regulation 17.

18 Arranging a temporary restriction of access to a thesis

18.1 After successful examination candidates are required to upload an electronic copy of their final thesis to the Library repository, Pure. It is expected that the full text of a thesis will be made available in the Library upon graduation. If there are reasons not to make the thesis publicly available immediately following examination, access to the thesis may need to be temporarily restricted. For sponsored research projects this may be a pre-condition of funding; other projects may develop a need for these restrictions as the work progresses.

18.2 An elective 12-month embargo (or restriction of access) to the full text of the thesis is freely available and can be requested when the thesis is deposited, using the Restriction of Access to a Thesis form (PGR7).

18.3 Students may request permission from the Board of Studies (Doctoral) for a longer embargo period, for a more extensive embargo that also includes the metadata record (author, title, abstract), to extend an existing embargo by a further 12-month period, or to submit a redacted thesis. The request can be made by using the Restriction of Access to a Thesis form.

18.4 The maximum embargo permitted for reasons of intention to publish/ impending publication will normally be 24 months. However, an existing embargo may be extended by a further 12-month period, up to a maximum of 60 months for other reasons of confidentiality (e.g., commercial sensitivity).

18.5 In exceptional cases where a temporary embargo will be insufficient, permission may be granted for a redacted thesis to be submitted, to allow parts of the work to be publicly accessible. Efforts must be made to redact the minimum of material. While the full thesis will be used by the examiners, and held in the library, only the redacted version will be publicly accessible after graduation.

19 Doctoral Student feedback and liaison

19.1 The University is committed to providing students with opportunities to contribute to the ongoing process of enhancement of the student experience through a range of feedback and liaison mechanisms, both formal and informal, with which doctoral students are encouraged to engage.

19.2 The Centre for Learning & Teaching is responsible for conducting the Higher Education Academy's annual Postgraduate Research Experience Survey (PRES) and the Postgraduate Taught Experience Survey (PTES). The results of the surveys will be considered by the University Doctoral Studies Committee and Faculty/School Doctoral Studies Committees. It is the responsibility of the University Doctoral Studies Committee to ensure that feedback is provided, as appropriate, to Faculties/School, and via Faculties/School to doctoral students on issues identified in the survey and/or actions taken in response to issues raised. The Doctoral College will oversee and coordinate the institutional response to any issues raised through the surveys and will work with the Centre for Learning & Teaching and departments to ensure that appropriate actions are taken and communicated to the doctoral student body.

19.3 The Centre for Learning & Teaching is responsible for arranging other surveys of the learning experience of doctoral students. The results of these surveys will be considered by the Education Quality and Standards Committee, the University Doctoral Studies Committee and the Faculty/School Doctoral Studies Committees. Other opportunities for doctoral students to provide feedback include externally administered surveys. It is the responsibility of the University Doctoral Studies Committee to ensure that feedback is provided, as appropriate, to Faculties/Schools and to students, on issues identified in the internal or external surveys and/or actions taken in response to issues raised.

19.4 The SU Doctoral Executive Committee encourages doctoral students to participate in both academic and social activity across Departmental, School and Faculty boundaries. It is a formally recognised section of the Students' Union and sends a representative to key University committees.

19.5 Doctoral students are encouraged to elect reps to participate in staff/student liaison meetings with their Director of Studies to represent the views of doctoral students and provide a two-way channel of communication with the University.

19.6 The Students' Union and Doctoral College are jointly responsible for collating SSLM and SU Doctoral Executive Committee action trackers to generate an annual monitoring and assurance report that draws out emerging themes, for consideration by the University Doctoral Studies Committee. The SU and CLT are jointly responsible for collating an institution-wide annual report to EQSC on emerging themes, effectiveness of the student engagement framework and levels of engagement which includes all modes of study.

20 Annual monitoring of research degree provision

20.1 The University is committed to the regular evaluation of its research degree provision in order to:

- maintain the quality and validity of its provision
- facilitate continuous enhancement of provision to reflect developments in the sector, institution and discipline
- record the quality and standards of its provision

20.2 The University recognises that the process of evaluation and enhancement of doctoral degree provision is iterative and happens through a range of formal and informal mechanisms. Annual monitoring provides Departments/School with a defined opportunity to take a holistic view of their doctoral degree provision and the environment in which it occurs, reflecting upon a range of evidence and indicators in order to identify actions to be taken and report on progress being made.

20.3 To help ensure the quality of doctoral degree provision across a Department/School, Directors of Studies are expected to review and respond to student feedback collected via the Postgraduate Research Experience Survey, and Postgraduate Taught Experience Survey (professional doctorate programmes) and Student Staff Liaison meetings.

20.4 Under the guidance of Associate Deans (Research), the School/Faculty Doctoral Studies Committee is responsible for developing and implementing a local action plan to enhance both the experience of doctoral students and the doctoral research environment.

20.5 UDSC will monitor progress with departmental and Faculty/School action plans at an institutional level with the aim of:

- ensuring accountability for action plans and issues for concern
- offering an opportunity for wider themes to be highlighted at institutional level
- promoting enhancement and to disseminate good practice across the University

20.6 Associate Deans (Research) work with Directors of Studies to ensure that any action specified by University Doctoral Studies Committee is carried out.

20.7 The University Doctoral Studies Committee is also responsible for considering annual reports on student completion rates, admissions and registrations (based on snapshot and longitudinal statistical data provided by the Doctoral College), and Destinations of Leavers from HE data (provided by Careers).

20.8 The reports will be evidence-based and evaluative, and reference actions taken as a result of points raised in previous annual monitoring reports.

21 Staff development and training

21.1 The University is committed to providing doctoral students with effective supervision and recognises that in order to achieve this, staff who are members of supervisory teams must be appropriately trained for their roles.

21.2 The Centre for Learning & Teaching is responsible for working together with the Doctoral College to consider and provide opportunities for appropriate training for staff involved in supporting doctoral students. Departments/Schools are responsible for ensuring that all of their staff involved in supporting doctoral students are adequately prepared and trained for their roles.

21.3 It is the responsibility of the Head of Department/Division to ensure that all employees on an Education and Research contract attend the mandatory Doctoral Supervision Workshop.

22 Complaints and academic appeals

22.1 The University's principles on which student complaints are dealt with are outlined in the Student Complaints Procedure.

22.2 Part of the aim of approving the candidature of a doctoral student and establishing a clear programme of work at an early stage in a doctoral student's studies is to build a constructive relationship between the student and their supervisor. This should help to avoid problems or assist in their early identification and resolution. However, it is recognised that problems can occur during a doctoral student's registration and the University has mechanisms in place to deal with such situations.

22.3 All employees and doctoral students have a right to be treated, and have an obligation to treat others, with dignity and respect. Expected standards of behaviour and professional conduct are outlined in the Dignity and Respect policy and the Personal and professional relationships policy, while misconduct and the disciplinary procedure for students are described in Regulation 7 and 8.

22.4 Usually, problems with doctoral supervision can be resolved at Department/School level either by consultation with the Director of Studies, the Head of Department/School, or the Faculty/School Director of Doctoral Studies. However, for cases where this appears to be ineffective or where the doctoral student considers this route inappropriate or inadvisable, the University Independent Advisor for Postgraduate Research Students should be contacted.

22.5 Consultations are treated in strict confidence and staff from the Department/School in question are only contacted by the University Independent Advisor for Postgraduate Research Doctoral students at the request of the research student.

22.6 In accordance with the University's Policy on Personal and Professional Relationships supervisory staff are strongly advised not to enter into a personal relationship with a doctoral student. Where a personal relationship exists, it is the responsibility of the member of staff concerned to declare the relationship.

22.7 Procedures for requesting an Academic Appeal of the outcome of the examination process are set out in Regulation 17.

23 Declaration of interests

23.1 Doctoral students, members of the supervisory team and potential Examiners are advised to be aware of other potential conflicts of interest and where possible to avoid entering into any kind of relationship that may create a potential conflict of interest, for example:

- situations unrelated to the academic work conducted by the student, such as the establishment of a financial relationship arising between a member of the supervisory team or Examiner and the student, for example, but not limited to, situations in which one party is the landlord of a property inhabited by the other; or where money is lent or borrowed
- situations in which the student is asked to conduct paid or unpaid academic or other work unrelated to the area of research for which they are registered, for a member of the supervisory team or Examiner

23.2 Where either party has concerns that there may be a conflict of interests, the concerned party is responsible for informing the Director of Studies, Head of Department/School or Dean of the existence of that relationship without delay.

23.3 Any such disclosure relating to personal or other relationships will be treated sensitively and in strict confidence. The person to whom such a disclosure is made is responsible for ensuring, where necessary, that appropriate

alternative arrangements are made with respect to the student's admission, assessment, supervision, teaching and/or pastoral care.

Statement Details

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	University Doctoral Studies Committee 17th July 2025 Minute 10 2nd July 2026 Minute 09 **Quality Assurance Committee** Minutes 164(b), 269(a), 305, 362(a),403(a), 412, 461(d), 578, 742, 1 July 2008 Minute 857(6),(8) 29 January 2009 Minute 934 3 July 2009 Minute 976(2) 22 July 2009 Chair's Action 13 July 2010 Minute 1095(2) **University Learning Teaching and Quality Committee** 13 July 2011 Minute 121 10 July 2012 Minute 276 25 September 2012 Minute 318 9 July 2013 Minute 428 8 July 2014 Minute 552 5 July 2016 Minute 807 16 January 2017 Minute 1002 6 Nov 2018 Minute 1103 **Education, Quality and Standards Committee** 7 October 2021 Minute 122 Approved by EQSC September 2023 (via correspondence) 15 May 2024 **University Research Students Committee** 2008/09 Minutes 24, 37, 38, 41, 42, 62, 102 29 May 2014 Minute 6 **University Doctoral Studies Committee** September 2017 Minute 13 July 2018 Minute 92 July 2021 Minute 83 January 2023 Minute 13

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Related Documentation	**External** Vitae Researcher Development Framework UUK Concordat to Support Research Integrity QAA Quality Code **Internal** Regulation 17 (Appeals) Appendix to Regulations: Student Complaints Procedure University of Bath Code of good practice in research integrity University of Bath Maternity, Paternity and Adoption Leave Policy for Research Students
Author:	Doctoral College