# Training for supervisors

Faculty of Engineering and Physical Sciences (FEPS)
(edited from FSS document, from Dr R Willis)

UoS Regulations and procedures for
PGR supervision and examination

# Aim of this session

- To ensure you are familiar with key regulations related to PGR training and progression milestones, and examination, located in

  – Calendar Section V Regulations for Research Degrees and Higher Doctorates

  – Code of Practice for Research Degree Candidature and Supervision

  – Quality Handbook, Postgraduate Research Section (and the Extraordinary Quality Handbook for COVID-related regulations)

  and aligned with the mandatory expectations and practices of the UK Quality code

Getting started

Information on Resources and Roles

# Doctoral College and FEPS PGR Portal

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https://www.southampton.ac.uk/doctoral-college/index.page?

https://fepspgrportal.soton.ac.uk/



Links to FEPS induction as well as individual School inductions provided.

PGR Milestones further discussed, updated with School-specific information.

# Duration of candidature

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| Degree | Minimum period of candidature | | Maximum period of candidature | |
|--------|-----------|-----------|-----------|-----------|
| | Full-time | Part-time | Full-time | Part-time |
| PhD | 24 months | 36 months | 48 months | 84 months |
| iPhD | 36 months | 48 months | 60 months | 96 months |

- Further details are in University Calendar Section V **Regulations** for Research degrees and Higher Doctorates
https://www.southampton.ac.uk/calendar/sectionv/index.page

# PhD programme in FEPS

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Each School has their own PhD programme(s)



The School of Chemistry

The School of Electronics and Computer Science

The School of Engineering

The School of Physics and Astronomy

The Zepler Institute

There are different practices across the Schools.

More information is available at the FEPS PGR Portal

# Responsibilities of supervisors -1

- Detailed in the Code of Practice for Research Degree Candidature and Supervision, on:

  https://www.southampton.ac.uk/doctoral-college/pgr-code-of-practice.page

- Supervisory team must have at least 2 UoS members. Supervisory team update completed on PGR Manager at the start of PGR candidature.

  - At least one member must have prior experience of supervision that has resulted in a successful doctorate.

  - Main supervisor must not be on probation, must not be emeritus, and if fixed-term their contract must outlast candidature

  - Co-ordinating supervisor must have a permanent contract.

  - Supervisory loading must not exceed 6 FTE, and no more than 10 students in total.

  - The Supervisory Team Update is completed on PGR Manager (under Candidature Management).

# Responsibilities of supervisors -2

- Expectation to maintain regular contact with the research student (at least once a month for FT, and more frequently at the start of candidature)

- Meeting recorded at least once per month through PGR manager. Especially important for students with VISA.

- New supervisors must take appropriate training (regulatory and pedagogical)

- To provide pastoral support and/or refer the student to other sources of support, e.g. PGR Senior Tutor, Student Hub.

- Ask students about their wellbeing; they may think it's not appropriate to mention unless you raise it

# Responsibilities of supervisors -3

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- If a colleague on a supervisory team leaves the University, it is their responsibility to inform the Graduate School Office (GSO) and their Doctoral Programme Director (DPD):

  – The University has an obligation to replace them on the supervisory team.

  – The new supervisory team must have the consent of the student.

  – The new supervisory team must meet the regulations.

  – The remaining supervisor(s) should check with GSO and DPD that they have been informed a colleague has left, and request a new supervisor if necessary.

# Responsibilities of supervisors -4

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- Monitor student's progress through activity reports and giving timely and constructive feedback

- Be aware of Progression Review deadlines, and ensure student is aware of these and requirements for each review

- Appoint Progression Review assessors and arrange meetings

- Complete PGR Manager tasks in a timely manner

- Ensure student is made aware of unsatisfactory progress where relevant

- Ensure student is aware of, and conforms to, policies on ethics, research governance, intellectual property, academic integrity, and research data management

- Arrange the *viva voce*, including nomination of examiners

- See the **Code of Practice** for more: https://www.southampton.ac.uk/doctoral-college/pgr-code-of-practice.page

# PGR Manager

# PGR Manager

- Monitoring of research students is via <u>PGR Manager</u>

- Records of all the progression reviews and other reports are stored on PGR Manager

- Research students and supervisors can check key milestone dates on PGR Manager

- Submission of the final thesis is on PGR Manager

- It is a **requirement** that students and staff comply with PGR Manager workflows to record progress in a timely manner

# Important milestones in candidature

# Data management plan

- Keeping your data archived and safe is essential

- Information on the Data Management Plan is available on the Library website

  Research Data Management: Data Plan for your PhD

- There is also a Blackboard training module on data management

- The Data Management Plan is completed on PGR Manager. Refer your students to help guide on:

  Data Management Plan - Guidance for students

- Must be reviewed at each formal progression stage and any new actions required noted by the assessors in their report.

# Ethics assessment

- All researchers should be aware of ethics principles and practice

- There is also a Blackboard training module on ethics for PGRs.

- The Ethics Assessment is completed on PGR Manager. A help guide is available at:

  ### Ethics - Guidance for students

- Your PGRs should complete the ethics assessment even if their project does not require ethics approval

# Professional Development Planning

- A PhD degree provides training in how to conduct research

- Research students are expected to undertake some professional and research skills training (mainly in their first year)

- The Skills/Training Needs Analysis and Training Plan is completed on PGR Manager (under Development). A help guide is available at:

  Training and Development - Guidance for students

- This should be completed within the first three months of candidature

- Training needs must be reviewed at each formal progression stage and any new actions required noted by the assessors in their report.

# Professional and Research Skills Training

- **Mandatory online training** for all University of Southampton PhD students is listed on the PGR Development Hub:

- In brief, this includes:

  - ✓ Health and Safety Induction (+ School training)

  - ✓ Equality and Diversity

  - ✓ Ethics Awareness Training

  - ✓ Research Data Management

  - ✓ Research Integrity

  - ✓ Orientation to Teaching and Demonstrating (only if you volunteer for any PGR teaching and demonstrating activities)

# Professional and Research Skills Training

- For science and engineering research students in FEPS, additional **mandatory professional/research skills training courses** are:

  ✓ Presenting Your Research

  ✓ Technical Writing Skills

  ✓ Research methodology for Scientists and Engineers (Engineering only)

  > Graduate School Instructors

- These mandatory courses are a progression requirement.

- Additional mandatory modules may be School specific (see FEPS PGR portal and your School induction guidelines).

- Information on these courses, and a wide range of optional courses are on the PGR Development Hub

- Training courses can be booked via PGR Manager

# Advice, Support and Welfare Services

# Doctoral College - FEPS team

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- Office: Building 13, Room 2047

  Monday – Friday, 9am–5pm

- Email: feps-gradschool@soton.ac.uk

- Phone: +44 (0)23 8059 1924

- Team Leader: Rob Agar

Academic administrative support for all PhD students and Supervisors in the Faculty.

Do not hesitate to contact the team for advice or guidance.

# Support for Supervisors

- FEPS Graduate school office

- Doctoral Programme Directors in each School

- Head of Research Group / Head of School

- ED&I reps in each School

Additional support can be provided to students through the Student Hub and Senior PGR tutors

# FEPS Graduate School

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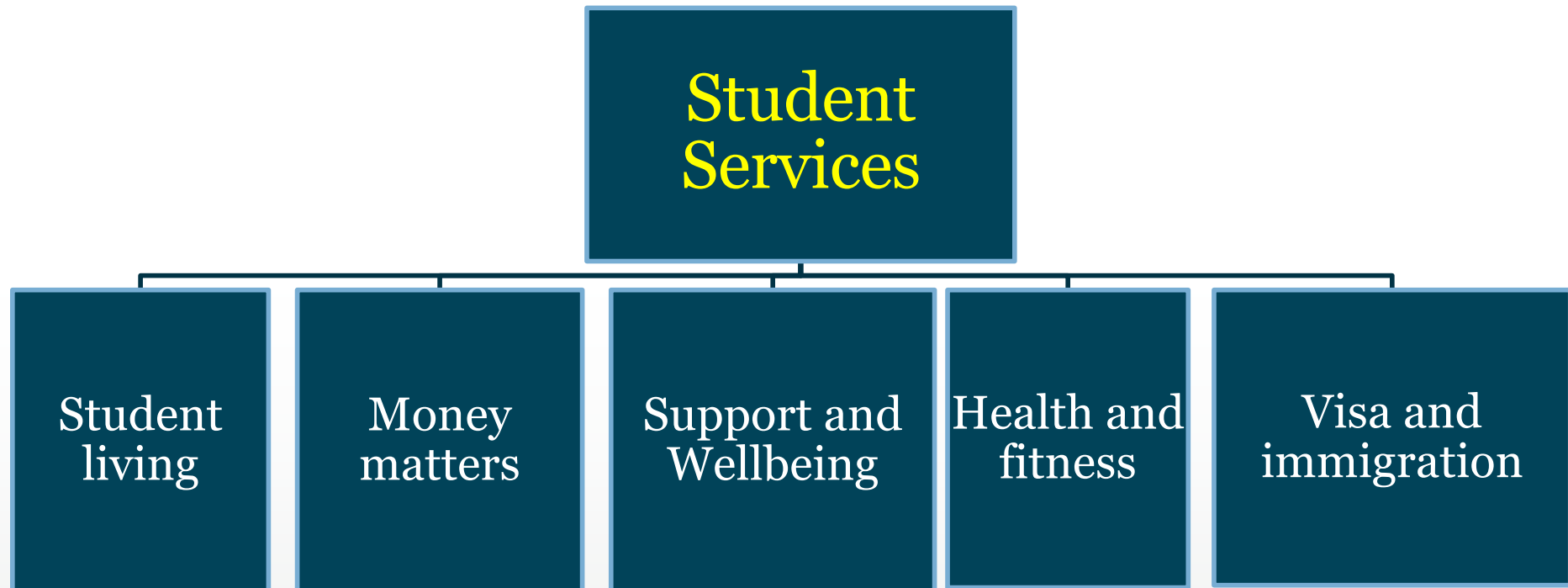
**Director, Faculty Graduate School**



Alan McAlpine

**Deputy-Director, Faculty Graduate School**



Marina Carravetta

# Doctoral Programme Directors

| Chemistry | Electronics and Computer Science | | Physics and Astronomy | Zepler Institute | PGR training |
|---|---|---|---|---|---|
| Marina Carravetta | Michael Ng | Mark Weal | Robert Fear | Nikitas Papasimakis | Ioannis Kaparias |

## Engineering

| Director of PGR programmes | AAE | CMEE | ISVR | Mech Eng | UoSM |
|---|---|---|---|---|---|
| Gustavo de Almeida | Ivo Peters | Yongqiang Liu | Yi Qiu | Andrew Hamilton | Khong Gan |

# Senior tutors

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## Chemistry

Marina Carravetta

Matt Baud

## Electronics and Computer Science
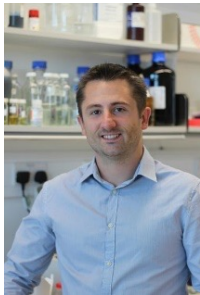
Andy Gravell

Age Chapman

## Engineering

**Emma Mackenzie**

**Jae-Wook Kim**

**Victoria Watson**

**Xize Niu**

## Physics and Astronomy

Poshak Gandhi

Elena Accommando

Vasilis Apostolopolous

## The Zepler Institute

Radan Slavik
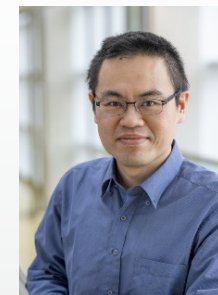
Jun-Yu Ou

Natalie Wheeler

Senthil Ganapathy

Look them up at https://fepspgrportal.soton.ac.uk/

# Progression Reviews

Key Principles

- Look at snapshot of progress at **fixed times**

- Students are allowed **two attempts** at each review

- Failure to meet the criteria will lead to **termination** of candidature

- It is the **supervisors' responsibility** to appoint assessors and ensure Progression Review decisions are completed before the deadline

# Course structure

**PhD**

9 months    20 months    32 months

Technical modules Professional skills

Final Thesis and submission

*Progression milestones:*

**Planning**

**First review**    **Second review (confirmation)**    **Third review**

**iPhD**

120 credits: core and optional modules, Professional skills, 60 credits: Summer project

Final Thesis and submission

21 months    32 months    44 months

*Year of candidature:*

Year 0    Year 1    Year 2    Year 3    Year 4

# Progression reviews

| Progression review | Full-time research students | | Part-time research students | |
|---|---|---|---|---|
| | First attempt | Second attempt | First attempt | Second attempt |
| First review | Months 7-10 | By end of month 12 | Months 15-21 | By end of month 24 |
| Second review (confirmation) | Months 18-21 | By end of month 24 | Months 30-42 | By end of month 48 |
| Third review | Months 30-33 | By end of month 36 | Months 61-66 | By end of month 72 |

# Progression reviews

- Your PGRs are required to submit a <u>review report</u> by a deadline

- Subsequently, a <u>review meeting</u> will be scheduled around one month later

- A panel will assess their progress during a <u>review meeting</u>, when they will be asked technical questions on their work

- The review panel will rate their work and provide feedback on their progress

Successful and timely completion of each progression review is required in order to progress.

# Progression reviews

Part-time research students also have to complete interim reviews.

Part-time research students who have not undergone a Progression Review in the previous twelve months of candidature should undergo an Interim Progression Review.

Interim reviews are not formal progression reviews, but are carried out to ensure that progress is monitored annually.

# First Progression Review

- **<u>Submission:</u>** The exact format of assessment is determined by the Faculty and advertised in PGR Student Handbook. It includes a review of the Development Plan and Data Management Plan. PGRs should submit a written report which:

  ➢ defines the aims and objectives of the research project;

  ➢ describes how the proposed research relates to other work in the area;

  ➢ presents the work that has been carried out to date;

  ➢ presents a plan for progression to Confirmation

- **<u>Panel</u>** :
  - Internal independent assessor & one supervisor
  - Other members of the supervisory team/external supervisor by invitation
  - *Report* is only by independent assessor

- **<u>Outcome recommendations</u>** : Progress or Reassess.

Note: Student failure to submit documentation on time without extenuating circumstances results in <span style="color:red">automatic fail</span> of first attempt

See **PGR Handbook** for your School/Department for specific format and criteria:
https://www.southampton.ac.uk/doctoral-college/researcher-resources/handbook/pgrhandbook.page

# First Progression Review:
## *Second attempt* if decision is to reassess

- **<u>Submission</u>**:
  - The same format as the first attempt

- **<u>Panel</u>**:
  ➢ Usually the same panel as the first attempt. The Faculty Director of Graduate School (FDoGS) may appoint an additional assessor. <u>An independent chair must be appointed for the re-viva.</u>

- **<u>Viva:</u>**
  ➢ The second attempt at a Progression Review will involve a re-viva, unless the assessors deem that the resubmission is sufficient to progress.

- **<u>Outcome recommendations :</u>**
  ➢ Progress or terminate candidature.

- On a recommendation to terminate candidature:
  ➢ Made to the FDoGS **within ten working days** of the review meeting.
  ➢ Notified to the student (subject to FEC approval) within **ten working days**.
  ➢ The FDoGS should establish if there are any mitigating circumstances.

# Second Progression Review – Confirmation of PhD candidature

- **<u>Submission</u>: (as a minimum)**

  ➢ an overview of the research problem and rationale for the project;

  ➢ a substantial literature review;

  ➢ well-developed plans for fieldwork and data analysis (if applicable);

  ➢ a review of the Personal Development Plan and Data Management Plan

- **<u>Panel</u>** :

  ➢ Two independent assessors

  ➢ Supervisor only present as observer

- **<u>Outcome recommendations</u>** : Progress or Reassess

Note: Student failure to submit documentation on time without extenuating circumstances results in <span style="color:red">automatic fail</span> of first attempt

See **PGR Handbook** for your School/Department for specific format and criteria: https://www.southampton.ac.uk/doctoral-college/researcher-resources/handbook/pgrhandbook.page

# Second Progression Review "Confirmation"
## *Second attempt* if decision is to reassess



- **Submission**:
  - ➤ The same format as the first attempt

- **Panel**:
  - ➤ Usually the same panel as the first attempt. The FDoGS may appoint an additional assessor.  <u>An independent chair must be appointed for the re-viva.</u>

- **Viva:**
  - ➤ The second attempt at a Progression Review will involve a re-viva, unless the assessors deem that the written resubmission is sufficient to progress.

- **Outcome recommendations:**
  - ➤ Progress; or
  - ➤ Terminate candidature; or
  - ➤ Transfer to MPhil

- On a recommendation to terminate candidature:
  - ➤ Made to the FDoGS **within ten working days** of the review meeting.
  - ➤ Notified to the student (subject to FEC approval) within **ten working days**.
  - ➤ The FDoGS should establish if there are any mitigating circumstances.

# Third Progression Review

- **<u>Criteria:</u>** has developed an adequately detailed plan of work and is on track to enable the research degree to be completed within the allowable registration period

- **<u>Submission:</u>** The format of assessment to be determined by the Faculty and advertised in Student Handbooks. It will include a review of the ANA and Data Management Plan. As a minimum, the student should submit a written report which:
  - ➤ presents the work that has been carried out to date
  - ➤ presents a plan for the remainder of the PhD
  - ➤ outlines a plan for submission of the thesis
  - ➤ Outlines the thesis structure

- **<u>Panel</u>**:          All members of supervisory team

- **<u>Outcome recommendations</u>**: Progress or Reassess.

Note: Student failure to submit documentation on time without extenuating circumstances results in automatic fail of first attempt

See **PGR Handbook** for your School/Department for specific format and criteria:
https://www.southampton.ac.uk/doctoral-college/researcher-resources/handbook/pgrhandbook.page

# Third Progression Review
## *Second attempt* if decision is to reassess


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- **<u>Submission</u>**:
  - ➤ The same format as the first attempt

- **<u>Panel</u>**:
  - ➤ Internal <u>independent</u> assessor & one supervisor
  - ➤ <u>An independent chair must be appointed for the re-viva.</u>

- **<u>Viva:</u>**
  - ➤ The second attempt at a Progression Review will involve a re-viva, unless the assessors deem that the written resubmission is sufficient to progress.

- **<u>Outcome recommendations:</u>**
  - ➤ Progress; or
  - ➤ Terminate candidature; or
  - ➤ Transfer to MPhil

- On a recommendation to terminate candidature:
  - ➤ Made to the FDoGS **within ten working days** of the review meeting.
  - ➤ Notified to the student (subject to FEC approval) within **ten working days**.
  - ➤ The FDoGS should establish if there are any mitigating circumstances.

# Interim Progression Reviews

- Part-time students who have not undergone a Progression Review in the last twelve months should have an Interim Progression Review.

  – *It is also advisable to hold an interim progression review if a student is in nominal registration but has not had a review in more than 12m*

- If a Progression Review is due in the next month, the FDoGS may waive the Interim Review

- **Submission:** The format of assessment is determined by the Faculty and advertised in PGR Handbook. Minimum requirements are detailed in the Code of Practice. It will include a review of the ANA and Data Management Plan.

- **Panel** – all members of the supervisory team

- **Outcome:** There is no standard outcome, but as a minimum students will be given written feedback, and guidance on any actions to be taken to support progress.

- An unsatisfactory interim review may lead to an Exceptional Progression Review.

# Exceptional Progression Reviews

- Scheduled on the direction of the FDoGS

- **Student informed in writing that failure to satisfy the panel may result in a recommendation for termination.**

- <u>**Panel:**</u> Will follow the procedure for 2nd progression review, and second attempt requires Independent Chair

- <u>**Viva:**</u> Will involve a viva

- <u>**Outcome of initial meeting:**</u> Continue in candidature, or re-assess. If re-assess: A written action plan, targets and deadlines for improvement, which will be due for review after no more than 3 months from receipt of the action plan.  This will be sent to the student in writing within **ten working days** of the panel.

- The panel will meet with the student after the action plan deadline and assess the progress against the targets of the action plan

- <u>**Outcome of second meeting**</u>: Continue in candidature, or terminate candidature.

- The recommendation:
    - Made to the FDoGS **within ten working days** of the review meeting.
    - Notified to the student (subject to approval) within **ten working days**.
    - If the recommendation is continuation of candidature, the student should be given written guidance on future work.

- On FDoGS acceptance of a recommendation to terminate candidature:
    - This must be approved by Chair of FEC, then formally reported to next meeting.
    - Subsequently reported to Senate.
    - Notified to the student within ten working days of the second progression review attempt, and informed of the appeal procedures.

# Procedures for circumstances that may lead to withdrawal or termination of candidature

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**1) Termination as a result of a Review:**

➢Must always involve a panel including an individual who is independent of the supervisory team

➢Can be a scheduled Progression Review, or an Exceptional Progression Review

**2) Termination as a result of failure to undertake the responsibilities of a research student**

➢See Code of Practice for list of responsibilities

**3) Termination due to lack of contact or failure to return from suspension**

**4) Termination as a result of failure to submit a thesis by the end of the maximum period of candidature**

See also: https://www.southampton.ac.uk/quality/pgr/research_degree_candidature/termination_withdrawal.page

# Full fees vs nominal registration

- **Nominal registration** is the last part of the PhD, when you are primarily writing-up your thesis

- You can transfer to nominal registration when you have completed all the progression milestones <u>and</u> your supervisor certifies that you have finished all your research and written in draft form a significant part of your thesis

- The period of nominal registration is up to a maximum of six months. A small nominal registration fee is payable, but there are <u>no additional tuition fees</u>

- The student requests transfer to nominal registration using a form on <u>PGR Manager</u>

# Special Considerations, Suspensions, and Extensions

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- **Application for:**
    - Suspension of candidature
    - Extension to candidature
    - Extension to Progression Review Report submission deadline, or reschedule review or viva
    - Extension to deadline for the submission of minor or modest amendments to a thesis, or submission of a revised thesis following a viva voce
    - Special Considerations given to an assessment outcome
    - Circumstances to be logged
    - Applications through PGR Manager

- **Further information:**

- https://www.southampton.ac.uk/~assets/doc/calendar/RegsSpecialConsiderationsResearch.pdf

- https://www.southampton.ac.uk/doctoral-college/researcher-resources/handbook/2/specialcons.page

# Examination

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# Final Examination: Nomination of examiners and viva arrangements

- One internal examiner and one external examiner; Staff candidates are examined by two external examiners, and an internal examiner.

- Internal examiner should not be member of supervisory team, collaborating/co-authoring researcher, or member of staff involved in pastoral support of the student.

- One examiner can be drawn from the Confirmation panel provided that they have had no further material contact with the research project since Confirmation, and that the other examiner is entirely new to the project.

- External examiner who has examined a PGR at UoS within the last 2 years would not normally re-appointed; an if at all possible the same applies to examiners from institutions where UoS members of staff have recently examined for the same subject.

- Collectively, the examiners should have acted for at least 3 doctoral examinations.
- Collectively, the examiners should be familiar with examination practices and standards in the UK.

# Final Examination:
# Forms and detailed guidance

- Quality handbook/ Postgraduate Research/ Examination and Examiners

- https://www.southampton.ac.uk/quality/pgr/examination_and_examiners/index.page?

Please note: The guidance and forms are updated regularly. Please read carefully.

# The role of Independent Chair

Detailed in the Code of Practice
https://www.southampton.ac.uk/doctoral-college/pgr-code-of-practice.page

- to ensure the examination is conducted according to the University's regulations;

- to ensure that the research student is treated fairly and appropriately;

- to ensure that the outcome of the examination is fair and appropriate given the research student's performance;

- To provide a report after the *viva voce* examination

Forms here: https://www.southampton.ac.uk/quality/pgr/examination_and_examiners/index.page

# Adding value:
# Consistency & protection from risks

The *QAA UK Quality Code for Higher Education – Research Degrees, under Guiding Principle 6:*

> "The use of an Independent Chair encourages consistency in examination processes and provides an additional viewpoint if the conduct of the *viva* should become the subject of a research student appeal."

# Adding value: A good viva experience

The *viva* is critical to the assessment decision of whether to award a doctorate in a quarter of cases.

Plus, it matters to how candidates think and feel about themselves and their work. Requirement for an IC is positive action the FGS can take to help make the *viva* a more positive experience than is reported in the literature.

The *viva* places huge demands on the interaction & communication skills of those involved - the atmosphere can be highly charged and the stakes are high - an IC, even when appearing to be doing nothing special, can help everyone to feel protected, behave well and have a good experience.

# Adding value: Benefits for Independent Chairs

The greater transparency called for within UK doctoral *viva voce* examinations have the added benefit of allowing us as academics to see *vivas* other than those we are involved or invested in.

This means opportunities to observe and learn in an authentic way.

Independent chairing provides a window on a range of examination styles, informing our refinement of our own performance as examiners.

# Independent observer and manager of the meeting

- – ensure that procedures are followed properly to enable a process that is rigorous, fair, reliable and consistent.

- – will not receive a copy of the thesis and do not need to be a subject specialist as you are not directly involved in examining the doctoral degree.

- – do need to know the Regulations and Code of Practice and to have experience of examining before.

https://www.southampton.ac.uk/~assets/doc/calendar/RegulationsforResearchDegrees.pdf

https://www.southampton.ac.uk/doctoral-college/pgr-code-of-practice.page

https://www.southampton.ac.uk/quality/pgr/examination_and_examiners/index.page

# Examiners' Joint Report and Recommendation Form

- Part A: Does the work demonstrate an original contribution to knowledge? (yes/no)

- Part B: Four QAA descriptors of PGR degree (yes / yes (subject to specific amendment) / no)– if 'subject to specific amendment' or 'no', please comment on the extent to which criteria have not been met

- Part C: Examiners jointly comment on the thesis <u>and</u> on the candidate's performance in the viva. Include detail of any amendments required.

- Part D: Recommendation, including timescales where relevant

  – Examiners <u>can</u> request a **second attempt** at making minor/modest amendments (but only the amendments originally requested)
    - A candidate whose minor/modest amendments are unsatisfactory after second attempt <u>can fail</u>

  – If examiners are unsure that a thesis would meet the criteria for award even after minor/modest amendments, they should instead recommend a revision for re-examination

- Joint Report subject to approval of FDoGS.

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# Permission to Deposit Thesis form

- Following successfully passing the doctoral degree, the thesis (and data where appropriate) is expected to be deposited with the University

- Candidates must fill in the 'Permission to Deposit Thesis' form while consulting the 'Guidance' document, and discuss with supervisor

- Embargos should only be requested in exceptional circumstances

    - 'publication pending' not sufficient – candidate expected to provide publication plan and evidence that the intended publisher considers a e-thesis to count as prior publication (see 'Guidance' document for examples of publishers who do not, e.g. Elsevier)

- UKRI expect full text of thesis to be publically available within 12 m

- Sponsor may require a thesis to be embargoed – require evidence

- Forms not following this guidance will be rejected

https://www.southampton.ac.uk/quality/pgr/research_degree_candidature/completion.page?

# Key references

- The University Calendar – Section V: Regulations for Research Degrees and Higher Doctorates

https://www.southampton.ac.uk/calendar/index.page

- Code of Practice for Research Degree Candidature and Supervision

https://www.southampton.ac.uk/doctoral-college/pgr-code-of-practice.page

- The University Quality Handbook

https://www.southampton.ac.uk/quality/index.page

- The Extraordinary Quality Handbook (COVID-19 measures)

https://sotonac.sharepoint.com/teams/ExtraordinaryQualityHandbook

# Further Key References

- Quality Assurance Agency Quality Code for Higher Education https://www.qaa.ac.uk/quality-code

  – Expectations, core practices, common practices, and advice and guidance

# Other relevant training sessions

- On Staffbook:

    – Supervising Research Students (Provided by CHEP)

    – Examining The Doctoral Thesis (Provided by CHEP)

    – Data Management Plans & Thesis Deposit: Briefing for PhD Supervisors (Provided by the Library)

- On Blackboard:

    – 'DST: Doctoral Supervisor Training'

    – 'Diversity-001: Equality & Diversity in Practice'