



Heriot-Watt University
**POSTGRADUATE RESEARCH STUDENT
CODE OF PRACTICE**

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1. INTRODUCTION

- 1.1. Postgraduate Research Students are a key component of Heriot-Watt University's Strategy Focus on the Future to enhance our academic and professional strengths and reputation. Success in Postgraduate Research is dependent on the provision of adequate supervision in an appropriate research environment. The student also has responsibilities, in what is essentially a joint voyage with the supervisor into the unknown. The *Postgraduate Research Student Code of Practice* (herein referred to as the Code of Practice) is not meant to adversely affect the development of the unique Student/Supervisor relationship at the heart of the research journey. The Code of Practice rather lays out the reasonable expectations and responsibilities entered into by all parties at the outset of a research programme.
- 1.2. Heriot-Watt University's Postgraduate Research Student Code of Practice has been developed to ensure consistency across the Schools and Institutes, thereby:
 - 1.2.1. Ensuring an appropriate Research Environment: adequate facilities and training programmes, access to a vibrant group of active researchers and fellow students.
 - 1.2.2. Improving students' understanding of their responsibilities such that students assume co-responsibility for their research programme and personal development with their Supervisor.
 - 1.2.3. Increasing the quality of student/supervisor relationship through use of supervisory teams and enhanced transparency brought about by regular independent scrutiny.
 - 1.2.4. Ensuring the operation of institutional quality enhancement and assurance processes.
- 1.3. Heriot-Watt University's Code of Practice follows the framework published by QAA Scotland - Code of practice for the assurance of academic quality and standards in higher education: Postgraduate research programmes (<http://www.qaa.ac.uk/Publications/InformationAndGuidance/Pages/Code-of-practice-section-1.aspx>).
- 1.4. The Code of Practice was introduced in 2003-4 session and is subject to biennial review. The Code of Practice provides a set of guidelines for the consistent implementation of University Regulations 6 (Degree of Doctor of Philosophy (PhD)), 37 (Engineering Doctorate (EngD)), 41 (Doctor of Business Administration (DBA)), 43 (Doctor of Philosophy by Published Research) and Regulation 49 (Higher Degrees of Master (Research)). Schools are expected to meet or exceed the provision for research students laid out in this Code of Practice. This Code of Practice (see version number and date in footer for details) is available on the Academic Registry website (<http://www.hw.ac.uk/registry/resources/cop-pgr.pdf>) and should be referred to in any further codes developed.

2. DEFINITIONS

- 2.1. The "**Student**", no matter where they are studying, is any individual enrolled for a postgraduate research degree, on either a full-time or part-time basis, unless otherwise specified. This Code of Practice applies to students enrolling for research-based degrees and their practice-based equivalents: Master of Science by Research (MSc), Master of Philosophy (MPhil), Doctor of Philosophy (including by Published Research) (PhD), Doctor of Engineering (EngD) and Doctor of Business Administration (DBA).
- 2.2. A "**Distance Learning Student**" (sometimes referred to as off-campus) is any individual enrolled for a postgraduate research degree and not normally in attendance on any Heriot-Watt University campus on a full-time or part-time basis. Distance Learning Research Students might also be undertaking Distance Learning taught courses as part of a formal research programme conducted at distance (e.g., EngD or DBA students). Distance Learning Students will have particular

arrangements, with respect to supervision, meetings and resources that may be on an individual basis whilst adhering as closely as possible to the spirit of this Code of Practice.

- 2.3. A **“Writing-up student”** is a student who has completed the required period of study but who has not yet graduated and is required to enrol as a “writing up” student until such time as their final thesis or dissertation has been submitted.
- 2.4. The **“School”** is any School or Institute of Heriot-Watt University.
- 2.5. The **“Institution”** is Heriot-Watt University, comprising Edinburgh Campus, Scottish Borders Campus, Orkney Campus, Dubai Campus, any future Campus and any affiliated institution or organisation hosting Heriot-Watt Postgraduate Research Students.
- 2.6. The **“Supervisor”** is the Primary Supervisor unless otherwise specified.
- 2.7. The **“Primary Supervisor”** is the Supervisor appointed by the School to take prime responsibility for the Student and the operation of this Code of Practice.
- 2.8. The **“Secondary Supervisor”** is a Supervisor appointed by the School to support the Primary Supervisor in carrying out his/her duties and to provide additional guidance to the Student. In some cases, this Secondary Supervisor might be external, for example, based at the student’s place of employment or in another organisation.
- 2.9. A **“Supervisory Team”** will normally comprise the Primary and Secondary Supervisors and any other person nominated by the School to guide the Student (e.g., Laboratory Staff, Practitioners). Heriot-Watt University formally approves no more than two supervisors for appointment to supervisory teams.
- 2.10. A **“Research Student Coordinator”** is an academic member of staff appointed by the School to oversee the operation of the Code of Practice in the School. This role might usually be taken by a member of the Research Committee in the School.
- 2.11. A **“Research Administrator”** is normally a member of non-academic staff of the School with responsibility for the operation of the selection and admission of Students and the maintenance of the student files.
- 2.12. A **“Director of Research”** is a senior academic member of staff who is appointed in each School and is responsible for leading all research activities of that School.
- 2.13. The **“Deputy Principal Research & Knowledge Transfer”** (DP R&KT) is a senior academic in the University, appointed to this role by the Principal.
- 2.14. Research Students’ **“Intellectual Property”** includes Research Results, and Computer Software created by the Student.
- 2.15. A **“Student-Supervisor Agreement”** is the agreement by both parties to adhere to the Code of Practice. (Appendix 1).
- 2.16. A **“Progress Meeting”** is defined as a prearranged meeting between the student and the supervisors to review progress and set targets and of which a formal record is kept in the student file.
- 2.17. A **“School Review Meeting”** is an internal meeting at which progress is reviewed by a panel which will include academic staff members of the Institution other than the Supervisor(s) and/or Supervisory Team and of which a formal record is kept in the student file.
- 2.18. A **“Research Student Committee”** is the formally established committee in each School for representation of all Student matters (for example, Research Education Committee (School of the Built Environment), Postgraduate Committee (School of Life Sciences) or Research Student

Subcommittee (School of Textiles and Design), PGR Co-ordination Group (School of Engineering and Physical Sciences), Research Student Committee (Institute of Petroleum Engineering). Ideally the Research Student Coordinator should be present at these meetings and report back to the School Research Committee.

- 2.19. A “**School Research Committee**” is the formal committee in each School that is chaired by the School Director of Research and reports to the Institutional Research and Knowledge Exchange Board (see below).
- 2.20. The “**Research & Knowledge Exchange Board**” (RKEB) supports the Deputy Principal (Research & Knowledge Transfer) in providing research management, co-ordination and leadership across the University, advises senior University managers on all issues relating to research across the University, and develops the necessary University strategy, policies, structures and procedures for the enhancement and facilitation of research, including postgraduate research students.
- 2.21. The “**Postgraduate Studies Committee**” (PGSC) supports the University Senate in overseeing the quality and enhancement of all postgraduate taught and research programmes across the University, including the approval of new and modified postgraduate taught and research programmes, the admission, enrolment and supervision of postgraduate taught and research students, the approval of research thesis titles, the appointment of external examiners and research supervisors, the approval of postgraduate research awards and the maintenance and the update of University Ordinances, Regulations, Policies and Procedures (including this Postgraduate Research Student Code of Practice)
- 2.22. The “**Research Students Co-ordinators Group**” (RSCG) is a committee attended, inter alia, by the School Research Students Co-ordinators and convened by the DP R&KT. The RSCG reports, through the convenor, to RKEB.
- 2.23. The “**Research Students Representatives Group**”, (RSRG) is convened by the DP R&KT, has research student representation from each School. The RSRG reports to the RSCG through one of the student representatives.
- 2.24. A “**Student File**” is a formal record of application forms, references, formal Progress and Review Meetings, notes of absence, etc and is held for the duration of enrolment in the School under the responsibility of the Research Student Co-ordinator or nominee. The file may be required for review by Senior Managers of the University and must be kept up to date.
- 2.25. The Institution's Policies on The Ownership and Management of Student-Generated Intellectual Property Rights and on The Ownership, Protection and Exploitation of all forms of Intellectual Property, Research Results and Computer Software, and the Institution's Code of Commercialisation Practice are considered to be part of this Code of Practice in so far as they are applicable to Postgraduate Research Students. These documents can be obtained from Research and Enterprise Services (RES) (http://www.trs.hw.ac.uk/Tech_transfer/general_documents.html). In certain circumstances the above policies may be waived by the School, for example in the case of Distance Learning Students on the DBA programme, following consultation with Research and Enterprise Services.

3. INSTITUTIONAL ARRANGEMENTS

3.1. Student responsibilities:

- 3.1.1. The responsibilities of students to their Institution are stated in the Code of Practice.
- 3.1.2. Students are encouraged to give feedback through the Supervisor, Research Student Coordinator, Research Student Committee or through institutional and national surveys when requested.

3.2. Supervisor responsibilities:

3.2.1. Supervisors are responsible for ensuring that the Code of Practice is followed in all aspects of Postgraduate Student Supervision.

3.3. School responsibilities:

3.3.1. Each School Research Committee (through the Research Student Coordinator) has the responsibility for monitoring progress of Students, giving feedback on a regular basis and providing the infrastructure appropriate for a Research Student as set out in the Code of Practice.

3.3.2. School Research Committees may develop their own guidance information for Students, but this must meet and preferably exceed the standards laid out in this Code of Practice.

3.3.3. School Research Committees nominate Supervisors and request approval of such Supervisors from the PGSC.

3.3.4. Schools must negotiate resources and determine student number targets with the Institution during the annual planning process.

3.3.5. School Research Committees must produce annual records against agreed targets (submission rates, average times for submission, completion rates and for appeals, complaints and student feedback at School level) and report to PGSC and the RKEB.

3.4. Institution responsibilities:

3.4.1. The PGSC will review and approve the Code of Practice on a two-yearly basis. This review will be conducted in consultation with the Deputy Principal (Research and Knowledge Transfer), Research and Enterprise Services, the Quality and Standards Committee and the Academic Registrar.

3.4.2. The Institution must negotiate resources and set targets with the School at the annual planning process.

3.4.3. The RKEB of the Institution should annually collate School records against agreed targets (submission rates, average times to submission, completion rates and level of appeals, complaints, student feedback).

3.4.4. The RKEB of the Institution must publish the agreed targets for Schools on the Web.

3.4.5. The Institution's training framework and training policy for Postgraduate Research Students is the responsibility of the RKEB.

3.4.6. The monitoring of this Code of Practice is the responsibility of the PGSC in consultation with the RKEB, Research and Enterprise Services (RES), Academic Registry and Academic Enhancement.

3.4.7. The award of a Postgraduate Research degree must be approved by the PGSC on behalf of Senate.

3.4.8. The Institution shall put in place mechanisms to foster compliance with the spirit of this Code of Practice through PGSC and the RKEB.

3.4.9. The PGSC, in consultation with the DP R&KT, shall have delegated responsibility for ensuring compliance with and for obtaining research-student input to the Code of Practice

3.4.10. The Institution, via the PGSC, will be responsible for ensuring that adequate research facilities and support services are provided to students who undertake research programmes of study at locations outwith the Scottish campuses.

4. RESEARCH ENVIRONMENT

4.1. Student responsibilities:

- 4.1.1. Students are expected to respect their research environment provided and maintain it for other students (return books, maintain equipment, clean laboratories, etc).
- 4.1.2. Students are expected to collaborate with other Students within the research group and, with the permission of their Supervisor, develop collaborative associations with other internal, external, national and international research groups. Where collaboration is an integral part of the research project, an agreement between the parties made in advance of any collaboration should specify intellectual property rights and confidentiality arrangements.
- 4.1.3. Students are encouraged to attend appropriate National and/or International fora.
- 4.1.4. Students will be expected (subject to the appropriate funding being available) to present the results of their research in internal School/Institution fora, and National and International meetings unless confidentiality agreements dictate otherwise.
- 4.1.5. Students are required to behave responsibly with Internet usage and any misbehaviour in this respect could result in Internet access being withdrawn and the appropriate authorities notified, as laid out in Regulation 29: Use of University Computing Facilities.
- 4.1.6. Students must comply with the University policy on Intellectual Property, Confidential Information and Commercialisation, maintained by Research and Enterprise Services (RES):
<http://www.hw.ac.uk/hr/htm/policies/IP%20Policy%20Commercialisation%20Policy.pdf>.

4.2. Supervisor responsibilities:

- 4.2.1. A Supervisor is expected to ensure that sufficient resources are available for the Student to complete the normal period of study before offering a place to a student. Resources include Student stipends, provision of office and laboratory space, funding to access computer and laboratory facilities within the School, the Institution or externally as appropriate.
- 4.2.2. A Supervisor should be sufficiently abreast of the area of research offered to the Student. The Supervisor is responsible for finding an appropriate Secondary Supervisor or Supervisory Team. In exceptional circumstances (e.g. long-term illness) the Secondary Supervisor role may be taken by the Research Student Coordinator in the absence of a suitably qualified alternative.
- 4.2.3. A Supervisor is responsible for encouraging Students, after an appropriate induction period, to partake in School, Institution, National and International fora unless confidentiality arrangements dictate otherwise.
- 4.2.4. A Supervisor is responsible for helping the student to seek funds to enable students to partake in appropriate National or International fora.
- 4.2.5. A Supervisor, in conjunction with the student, is responsible for identifying any intellectual property of commercial potential created in the course of study and contacting Research and Enterprise Services (RES) immediately if any such intellectual property is identified. Such Intellectual Property should be treated as confidential unless Research and Enterprise Services (RES) dictates otherwise. Protection of Intellectual Property should not interfere with the Student's progress towards a degree.
- 4.2.6. A Supervisor is responsible for ensuring that a Student is aware of and subject to any obligations of confidentiality which apply to the area of Research, and of any Intellectual Property commercialisation issues which may arise.

4.2.7. The Supervisors, and where applicable other members of the Supervisory team and the School Research Student Coordinator are the primary sources of support for research work.

4.3. School responsibilities:

4.3.1. A School offering a place to a Student shall be able to show evidence of appropriate national and international excellence in research. The Supervisor shall normally be an academic member of staff of the School through which the student is enrolled.

4.3.2. A School will meet or exceed the appropriate supervisory arrangements identified in this Code of Practice.

4.3.3. Each School Research Committee should appoint a Research Student Coordinator to oversee the implementation of the Code of Practice and normally a Research Administrator as the administrative point of contact for the student.

4.3.4. Students will have representation on the committee structure within the School through the Research Student Committee which reports to the School Research Committee.

4.3.5. Part-time, on-campus Students would normally expect the same rights as full time students, when on campus. Distance Learning students can expect the same facilities as on-campus students when visiting campus. Students in institutions with reciprocal arrangements can expect similar facilities to be arranged for them.

4.3.6. Each School has a responsibility to create a mechanism whereby Distance Learning Students can feel they are as much a part of a supportive research environment as on-campus students (through internet links, summer schools, newsletters, etc).

4.3.7. Writing-up students can expect the same rights as those afforded to students in their normal period of study, including access to Supervisors. A writing-up fee may be required. After the normal writing up period of twelve months, such access and facilities (for example, office-space) cannot be guaranteed.

4.3.8. Students have the right to approach the Head of School if they feel other channels are not addressing their needs and rights as set out in the Code of Practice.

4.4. School responsibilities – provision of infrastructure:

4.4.1. Each School will provide on-campus Students with a designated study space (normally a chair and desk in a room in which research study with minimal disturbance is recognised as the prime consideration) with appropriate computing and experimental resources to undertake the programme of study.

4.4.2. Each School will provide on-campus Students with a designated lockable space.

4.4.3. Each School will provide on-campus Students with individual access to a computer with email, Internet access and print facilities.

4.4.4. Each School will specify what level of free telephone, photocopying and interlibrary loans are allowed for on-campus students.

4.4.5. Each School will ensure access to the appropriate specialist library resources. In the case of Distance Learning Students, a School will direct a student towards appropriate external or internal resources.

4.5. Institution responsibilities:

4.5.1. The Institution is responsible for providing Schools with telephone and internet access.

4.5.2. The Institution is responsible for providing Schools with appropriate library infrastructure and IT infrastructure support.

4.5.3. Research and Enterprise Services (RES) is responsible for deciding whether any intellectual property can be commercially exploited within two weeks of completion by the Student and Supervisor of the Innovation Disclosure Form (IDF) of such Intellectual Property so as not to unduly delay publication.

4.5.4. Students based on campus shall have access to the Institution's Student Support and Accommodation services provided for that campus.

5. SELECTION, ADMISSION, ENROLMENT, and INDUCTION

5.1. SELECTION AND ADMISSION

5.1.1. Student responsibilities (prior to enrolment):

5.1.1.1. The Student will be expected to have submitted true statements in support of the application and to have honestly completed all sections of the application form, including details of medical information and next-of-kin. Any evidence found to the contrary will invalidate the application and any offers made, and may lead to the place being rescinded during the course of study.

5.1.1.2. The Student is responsible for seeking clarification or further information from the School or Supervisor, if needed.

5.1.1.3. To have provided a fair and truthful application form and appropriate academic and/or industrial referees.

5.1.1.4. The student should provide the University Finance Department with suitable evidence of a financial guarantee that funds (maintenance and fees) are in place to complete the course. This is normally required from the Student before enrolment. This requirement may be waived for some Distance Learning students. Some students may be required to pay an advanced instalment of the prescribed tuition fees.

5.1.1.5. To have satisfied all other admission criteria, including where appropriate the payment of any advance instalment.

5.1.2. Supervisor responsibilities:

5.1.2.1. The Supervisor is responsible for attending appropriate training before undertaking selection.

5.1.2.2. Insofar as is possible, the Supervisor is responsible for ascertaining the veracity of claimed qualifications through referees and interview.

5.1.2.3. For Distance Learning Students, where formal Distance Learning coursework is a requirement at the start of a research programme, the chair of the School Research Committee assumes the role of the Supervisor up until the time that the research subject area has been determined and a specific supervisor assigned to the student.

5.1.3. School responsibilities:

5.1.3.1. Selection of applicants is the responsibility of the School.

5.1.3.2. The School will acknowledge the receipt of formal applications within a working week upon receipt from the Recruitment and Admissions Service.

5.1.3.3. Nature of degree awards and admissions criteria will be explained to the Applicant.

- 5.1.3.4. Full costs and details of financial support, including any scholarship opportunities, will be explained to the applicant. Where applied, this information will include instructions on the payment of advanced instalments.
- 5.1.3.5. Applicants should expect to hear with respect to their applications in response to an advert within one month. Speculative applications may require a longer response time.
- 5.1.3.6. Marketing material for research degrees should guide the student in research strengths of the School, Institutional context and collaborative arrangements.
- 5.1.3.7. Schools are expected to choose candidates on an equitable basis according to the candidate's abilities and may be on the basis of an interview.
- 5.1.3.8. Admission of Students is the responsibility of the School.
- 5.1.3.9. Admission will be on the basis of prior academic qualifications as defined in University Regulations 6 (Degree of Doctor of Philosophy (PhD)), 37 (Engineering Doctorate (EngD)), 41 (Doctor of Business Administration (DBA)), 43 (PhD by Published Research) and 49 (Higher Degrees of Master (Research)).
- 5.1.3.10. The School shall attempt to validate the Accredited Prior Certificated Learning and/or Accredited Prior Experiential Learning records of candidates.
- 5.1.3.11. In addition to prior academic qualifications, admission will require English proficiency at a minimum of IELTS 6.5 (with no component, e.g. reading/writing/etc, less than 5.5) or equivalent. Admission at lower proficiency levels can be considered where formal English language training is part of the Research Programme.
- 5.1.3.12. Offers to students should be reviewed either by the School Research Student Co-ordinator or by the School Research Committee prior to the offer being made.
- 5.1.3.13. The minimum period of study for a PhD will be 24 months (36 months for part-time study).
- 5.1.3.14. The minimum period of study for an MPhil will be 18 months (36 months for part-time study) but can be 36 months (72 months for part-time study) (e.g. in the case of research degrees plus English Language training) providing this is formally explained at the outset of the study period.
- 5.1.3.15. The minimum period for an MSc by Research will normally be 12 months (24 months for part-time study).
- 5.1.3.16. Students can transfer between full-time, part-time and Distance Learning modes of study at the discretion of the School.
- 5.1.3.17. The period of study for a PhD will normally be a minimum of 3 years (6 years for part-time study). A student can then be enrolled as "Writing-up" where the period of study has come to an end, normally for a maximum period of one year.
- 5.1.3.18. The maximum period of study for a PhD will normally be 4 years or 5 years in the case of a programme of study including a taught element (8 years for part-time study or 10 years in the case of a programme of study including a taught element).
- 5.1.3.19. The maximum period of study for an MPhil will normally be 3 years (6 years for part-time study).

5.1.3.20. The maximum period of study for an MSc by Research will normally be 2 years (4 years for part-time study).

5.1.3.21. The minimum and maximum period of study for EngD and DBA degrees are comparable to PhD but subject to individual arrangements at the discretion of the School.

5.1.4. Institution responsibilities:

5.1.4.1. To set minimum Institutional entry standards through the PGSC (for English ability these are a minimum of IELTS 6.5 (with no component, e.g. reading/writing/etc, less than 5.5) or equivalent but can be lowered in cases where formal English language training is offered as part of the Research Degree programme).

5.1.4.2. To determine appropriate Accredited Prior Certificated Learning and Accredited Prior Experiential Learning criteria through the PGSC.

5.1.4.3. To set and monitor targets with respect to admissions through the RKEB.

5.1.4.4. The RKEB will monitor external factors (SFC, UK funding agencies directives, QAA Scotland directives, etc) and provide guidance to Schools on the interpretation of new initiatives.

5.1.4.5. The Institution will comply with all Home Office requirements in respect of rules governing international student visas and study status within the United Kingdom.

5.1.4.6. The Recruitment & Admissions service will normally pass on any applications to the appropriate School within one working week.

5.1.4.7. The Recruitment & Admissions service will make application forms readily available on the Institution's web site.

5.2. ENROLMENT

5.2.1. Student responsibilities:

5.2.1.1. The Student completes the enrolment process with the aid of the Supervisor and the School. This process is required on first enrolment and at each annual enrolment thereafter. The enrolment process must be authorised by the School Research Student Co-ordinator (or another appropriate member of staff in the School).

5.2.1.2. Students must enrol every year for the duration of their studies, including when progressing under writing up status.

5.2.1.3. Students must agree to conform to all University Ordinances, Regulations, Policies, Procedures, Guidelines and other similar information where relevant.

5.2.1.4. The student will acknowledge that full-time enrolment implies full-time devotion to postgraduate research study and related taught courses. Part-time enrolment normally implies at least 50% devotion to postgraduate research study and related taught courses.

5.2.1.5. The student will receive a copy of this Code of Practice, with the view to reviewing this document in more detail during induction. The student will be expected to sign up to the terms of this Code of Practice during induction.

5.2.1.6. The Student is responsible for ensuring that the University is kept informed of all up-to-date contact details.

5.2.1.7. It is expected that Students will access their Heriot-Watt University email address frequently. All email communications from the point of enrolment must be conducted through the standard Heriot-Watt email address.

5.2.2. Supervisor responsibilities:

5.2.2.1. Supervisors are responsible for ensuring their students enrol promptly.

5.2.2.2. Supervisors are required to confirm that the Student is able to receive information via their university e-mail address, and that they are on the Virtual Learning Environment (Vision) and the School research-student lists.

5.2.2.3. Supervisors are required to sign up to this Code of Practice. See Appendix I.

5.2.2.4. Supervisors must ensure that the Student has signed up to this Code of Practice and received a copy of the document signed by both parties.

5.2.3. School responsibilities:

5.2.3.1. Completion of pre-enrolment procedures of Students is the responsibility of the School.

5.2.3.2. Enrolment can take place at any time of the year.

5.2.3.3. Research Student Coordinators, in consultation with the Primary Supervisor, are responsible for the nomination of the Secondary Supervisor or a Supervisory Team.

5.2.3.4. The School is responsible for providing data on Students and Supervisors for entry onto the University centralised student administration system and onto national databases (e.g. Je-S) if required.

5.2.3.5. Schools may choose to waive fees in certain circumstances.

5.2.3.6. The School will encourage students to complete their research activities timely, and within the maximum period of study allowed.

5.2.3.7. Enrolment as a Distance Learning student for a research degree carries an important consideration of time to be spent on-campus and the School will be responsible for ensuring that associated expenses for off-campus supervision and interaction (which is usually covered by a bench fee) is received from the student.

5.2.3.8. Supervisors will be appointed at the time of enrolment. Supervisors will normally be qualified to (at least) the level of the degree being sought. In special cases (e.g. practice-based PhD, EngD) a practitioner can be made the Primary Supervisor at the discretion of the School and approved by the PGSC.

5.2.3.9. Schools can propose extensions to periods of enrolment in cases such as illness and Maternity Leave and make the appropriate case to the PGSC. See also Appendices II, III.

5.2.4. Institution responsibilities:

5.2.4.1. The Academic Registry is responsible for enrolment of Students.

5.2.4.2. The PGSC can approve extensions and temporary suspensions to periods of

study in cases such as illness and Maternity/Paternity Leave.

5.2.4.3. The PGSC can approve any variation to the enrolment period in response to a case being made by the Supervisor and School.

5.2.4.5. The University's Ordinances and Regulations can be found on the Academic Registry website (<http://www.hw.ac.uk/ordinances/>)

5.3. INDUCTION

5.3.1. Student responsibilities:

5.3.1.1. The Student will be expected to attend appropriate instruction associated with health, safety, security and emergency procedures. The Student will be responsible for following these procedures. Depending on circumstances special arrangements will be made for distance learning Students.

5.3.1.2. The Student will attend the University Induction sessions.

5.3.1.3. Referral for the assessment of special needs is the co-responsibility of the Student and Supervisor and should take place during the induction period with the support of the Student Support and Accommodation service.

5.3.1.4. The Student will plan and arrange a training schedule in consultation with the Supervisor.

5.3.1.5. Communication from the University to students is normally by e-mail. It is required that students access their university e-mail address at regular intervals, ideally daily.

5.3.2. Supervisor responsibilities:

5.3.2.1. It is the responsibility of the Supervisor to ensure that the Student attends both the School and Institution induction sessions.

5.3.2.2. The Supervisor shall arrange for the Student to meet appropriate staff (research, IT, laboratory, secretarial, administrative) and students in the research group and School.

5.3.2.3. The Student shall be informed of the University Health and Safety Policy <http://www.hw.ac.uk/safety>, School practice and guidance, security and emergency procedures, opening hours and access rights.

5.3.2.4. Referral for assessment of special needs is the co-responsibility of the Student and Supervisor and should take place during the induction period with the support of the Student Support and Accommodation service and/or at other times if deemed appropriate.

5.3.2.5. The Supervisor will help to implement a training schedule determined in consultation with the Student, including participation in relevant, University-wide training programmes offered by Academic Enhancement.

5.3.3. School responsibilities:

5.3.3.1. It is the responsibility of the School's Research Student Coordinator to ensure that School Induction sessions take place.

5.3.3.2. The School will ensure that students are made aware of and agree to comply with the Code of Practice during the induction period. Distance Learning Students will be supplied with the Code of Practice by the Supervisor. The Supervisor is responsible for ensuring that the Student signs up to the Code of Practice and at the same time must sign up to the Code him/herself.

5.3.3.3. The Research Student Coordinator will advise the student of generic research training available in the School/Institution. The Supervisor will discuss what taught courses the student should attend.

5.3.3.4. The School should ensure that all students are advised on how performance affects progression, as stated within University Regulations.

5.3.4. Institution responsibilities:

5.3.4.1. The Institution will provide University Induction sessions at the beginning and at the middle of the Academic Year, organised through Academic Enhancement.

5.3.4.2. The Institution will ensure that all students are aware that they must be able to receive communications via their university e-mail address.

5.3.4.3. The Institution will develop generic, multi-disciplinary, research training policy through the Research Student Co-ordinators Group.

5.3.4.4. Academic Enhancement is responsible for providing generic, transferable-skills training for Students and training for Supervisors. This may be provided by external providers.

6. SUPERVISORY ARRANGEMENTS

6.1. Student responsibilities:

6.1.1. The Student is expected to remain in adequate contact with the supervisor (at a frequency agreed with the supervisor) for the duration of enrolment for the research degree. This contact can be mainly by email if this is mutually agreed.

6.1.2. The Student should keep a record of "Progress Meetings". Such a record will include date, duration, topics discussed, actions agreed.

6.1.3. The Student is expected to inform the Supervisor (or in exceptional cases the Research Student Co-ordinator) if any paid or unpaid work is being carried out in addition to a period of full-time study.

6.1.4. A student must inform the Supervisor immediately, in writing, of any circumstances, such as illness, adversely affecting their attendance and performance.

6.1.5. The Student is entitled to six weeks holiday per year and is responsible for advising the Supervisor of holiday arrangements in advance.

6.1.6. The Student is expected to conduct their research in an ethical manner and to be aware of any ethical issues associated with their research. Any such issues must be disclosed to the student's supervisor in the first instance.

6.2. Supervisor responsibilities:

6.2.1. The Supervisor must meet frequently with the Student. The Supervisor must return submitted work promptly and with adequate written and/or verbal feedback. Distance Learning Students will have special arrangements depending on location, but the Supervisor is responsible for arranging at least two face-to-face "Progress Meetings" a year.

6.2.2. Where applicable, the Supervisor is responsible for putting a Supervisory Team in place, which shall involve at least a Secondary Supervisor.

6.2.3. The Supervisor must keep a record of tutorials where necessary and meetings. Such a

record might include date, duration, topics discussed, actions recommended. A formal written record of supervision might be required by the School Research Committee if there is concern about a Student's progress. This record should be agreed with the Student and stored in the student file held by the School.

- 6.2.4. The Supervisor is responsible for advising on the implications of the Student undertaking any paid or unpaid work during the course of full-time study (e.g., impact on meetings, progress, funding arrangements).
 - 6.2.5. The Supervisor shall monitor and approve the holiday period (6 weeks per year) for the Student.
 - 6.2.6. The Supervisor should not normally take on more than 6 Students as a Primary Supervisor and 6 Students as a Secondary Supervisor.
 - 6.2.7. Supervisors are encouraged to be self-reflective in their supervisory role (e.g. through becoming members of the Higher Education Academy) and keep up to date with supervisory techniques and best research practice.
 - 6.2.8. The Supervisor is expected, in conjunction with the Student, to observe the progress of the Student's study and research and to report the creation of any exploitable intellectual property to the Research and Enterprise Services immediately. Such intellectual property should be treated as confidential unless Research and Enterprise Services dictates otherwise.
 - 6.2.9. The Supervisor should be aware of the Institution's Research Code of Practice and consult with the University Research Ethics Committee when applicable.
 - 6.2.10. The School Research Committee assumes the responsibilities of the Supervisor prior to the appointment of a Supervisor in the case of Distance Learning Students.
- 6.3. School responsibilities:
- 6.3.1. The Student will be supervised by a Primary Supervisor and a Secondary Supervisor (or a Supervisory Team) as deemed appropriate by the Supervisor to meet academic and practical demands of research. In exceptional circumstances the Research Student Coordinator can fulfil the requirement for a Secondary Supervisor.
 - 6.3.2. If the Primary Supervisor leaves the University or is to be absent for any significant period of time (more than one month) then the School should nominate a replacement for approval by the PGSC. The School shall ensure that Supervisors are appropriately trained and that at least one of the Supervisors is competent in the area of the proposed project. A Primary Supervisor will normally have a PhD and normally have previously supervised a student to completion (possibly as a second supervisor). However, it is accepted that in some disciplines, such as the creative disciplines, primary supervisors may not be in possession of a doctoral degree, although every effort should be made to ensure that the secondary supervisor is a senior academic who is qualified to the level of PhD. However where possession of a PhD is not the norm for a discipline and neither of the prospective supervisors is in possession of a doctorate, then one of the supervisors must have experience of postgraduate research student supervision. Under such circumstances, it would be expected that the supervisor would have successfully supervised three students to completion.
 - 6.3.3. The Primary Supervisor should normally be a full-time member of the academic staff of the University, unless otherwise approved by the PGSC.
 - 6.3.4. The Secondary Supervisor may be a full-time member the academic staff, or an "Approved Supervisor" either on-campus or off-campus, as approved by the PGSC.
 - 6.3.5. Schools are responsible for monitoring supervision quality and for ensuring that the nomination of supervisors is made with the avoidance of any potential conflict of

interest between the supervisors.

6.3.6. In the event of prolonged absence (more than 1 month) of the Primary Supervisor, Schools are required to provide and monitor alternative supervision arrangements.

6.3.7. If a Primary Supervisor leaves the University, then the School must nominate a replacement, and ensure continuity of adequate supervision (either within the University or in collaboration with the original Supervisor).

6.4. Institution responsibilities:

6.4.1. Supervisors for Students will normally be full-time members of the academic staff of the Institution. For students studying remotely from a University campus, at least one supervisor should be a member of the academic staff of the Institution. Where appropriate, Approved Supervisors (either on-campus or off-campus) may be nominated by Head of Schools or the School's Director of Research, for the approval of PGSC.

6.4.2. The Institution will provide a formal training programme for Supervisors.

6.4.3. The Institution is responsible for ensuring that every Supervisor is made aware of this Research Code of Practice and ethical review procedures.

6.4.4. The PGSC will be responsible for approving applications for candidates seeking Approved Supervisor status.

6.4.5. The PGSC is responsible for approval of Supervisor(s) which fall outside the normal criteria outlined in this Code of Practice.

7. INITIAL REVIEW, PROGRESSION AND SUBMISSION OF THESIS

7.1. Student responsibilities:

7.1.1. Students are expected to be punctual for appointments and persistent failure to do so will result in action by the Head of School.

7.1.2. Students should submit their research report and any other requirements as deemed by the School at least two weeks prior to their Review Meetings.

7.1.3. Students should keep a record of their transferable skills, and the skills training undertaken; this record shall be submitted at Review Meetings.

7.1.4. Students shall adopt the recommendations as outlined within the University Guidelines on Submission and Format of Thesis (please refer to <http://www.hw.ac.uk/registry/resources/guidelinesonsubmissionandformatofthesis.pdf>).

7.1.5. Following the oral examination, the student will submit two hard bound copies and one electronic copy of the thesis to the Academic Registry (please refer to <http://www.hw.ac.uk/registry/policies.htm>).

7.1.6. Students should observe all University guidelines on the submission and format of thesis, as outlined above and at <http://www.hw.ac.uk/registry/policies.htm>.

7.2. Supervisor responsibilities:

7.2.1. The Supervisor is expected to be punctual for arranged meetings.

7.2.2. A formal Progress Review will be conducted by the Supervisor at least once a year.

7.2.3. Review is a continuous process and is the responsibility of the Supervisor(s).

7.2.4. The Supervisor, in consultation with the Supervisory Team, is responsible for proposing Internal and External Examiners. The proposed examiners will be approved by PGSC in accordance with the Institution's Regulations.

7.2.5. The Supervisor, in consultation with the Supervisory Team, is responsible for recommending whether a thesis is suitable for submission to the Examiners.

7.3. School responsibilities:

7.3.1. The School shall put into place a formal mechanism for progression from year to year.

7.3.2. A School Review Meeting should be arranged by the School Research Committee upon completion of the first year of study for full-time enrolment (24 months part-time). Students should submit a significant body of written, experimental or portfolio work appropriate to the research area, plus the record of skills training. The written submission should show evidence of progression against the objectives. A portfolio of work (Exhibition, Catalogue, Web, CDR, DVD, Fashion Show, and Posters etc), accepted abstracts and published papers are also acceptable evidence of progression.

7.3.3. The Student, the Supervisor(s) and at least one Independent Reviewer will be present at a School Review Meeting. General review criteria include evidence of adequate progress, scope and focus, and feasibility of completion.

7.3.4. Sponsors, industrial or project-report meetings may be used to inform the first year Review Meeting, but should not replace the formal Review meeting between the Student, the Supervisors and the Independent Reviewer.

7.3.5. Following the first-year review, the School should give written feedback to the Student; it is the responsibility of the Research Student Co-ordinator to ensure that this happens.

7.3.6. After normally 24 months (normally 48 for part-time students) the Research Student Co-ordinator should receive independent reports and/or a brief joint report from the Student and Supervisor.

7.3.7. At the time that a student transfers to the status of a "Writing-up" student, a written schedule to completion should be agreed by the Student and Supervisor, and passed to the Co-ordinator.

7.3.8. The Director of Research confirms the School's nomination of Examiners, ensuring that the Examiners have the appropriate supervisory experience and qualifications (degree to the level being awarded and/or international reputation in the field of study).

7.3.9. The Research Administrator should hold copies of all forms and keep a record of completed forms in the student file.

7.4. Institution responsibilities:

7.4.1. The PGSC reviews and approves appointment of External and Internal Examiners on behalf of the Senate.

7.4.2. Two Examiners (Internal and External) are appointed by the PGSC for each Student (unless where the student is also a member of staff, in which case two External Examiners must be appointed in addition to one internal examiner). A second External Examiner can be appointed if the thesis subject (cross-disciplinary) warrants it. Examiners will normally be recognised international experts, with a degree to the level being examined and an active research and publication profile. An Examiner should not normally be proposed if that Examiner (or a colleague from the same institution and subject area as the proposed Examiner) has been appointed within the last two years in the same subject area in the University as the proposed candidate. Similarly, the Examiner should not normally be proposed if a member of Heriot-Watt University's staff

in the same subject area as the candidate has been appointed within the last two years in the same institution and subject area as that of the proposed Examiner.

- 7.4.3. The Academic Registry is responsible for ensuring that the Examiners are aware of the examination procedures.
- 7.4.4. The Academic Registry will send the thesis out to the Examiners normally within one week of submission and will advise the Internal and External Examiners that they have four weeks to review the thesis.
- 7.4.5. The PGSC shall ensure that Examiners have prepared independent reports prior to the viva. If the PGSC is concerned that these reports are not independent, it may seek explicit confirmation that the reports were produced independently.
- 7.4.6. The PGSC shall ensure that Examiners prepare a joint report after the oral examination.
- 7.4.7. The PGSC will ensure that a viva is held. Under the terms of Regulation 6 – ‘Degree of Doctor of Philosophy’, this is normally expected for a Doctorate (PhD) except under exceptional circumstances as outlined within the Regulation. An oral examination is optional at Masters (MPhil; Master of Science by Research) level, at the Examiners’ discretion.
- 7.4.8. The Institution has an Appeals process (Regulation 36: Student Appeals) and the Academic Registry publishes the University Appeals procedure on the web (please see <http://www.hw.ac.uk/registry/resources/guidelinesappealprocedures.pdf>) and will make the Examiners’ reports available to the Student in the case of an appeal to the Senate.
- 7.4.9. The RKEB may monitor submission rates of Students.
- 7.4.10. The Institution will ensure that all data relating to Students will be handled in accordance with the Data Protection Act and Freedom of Information Act.
- 7.4.11. The University’s alumni association (The Watt Club) is responsible for maintaining contact with Students following graduation.
- 7.5. Internal Examiner’s responsibilities:
- 7.5.1. The Internal Examiner is responsible for completing and submitting an independent examination report to the PGSC.
- 7.5.2. The Internal Examiner is responsible for arranging the Oral Examination (Viva-Voce).
- 7.5.3. The Internal Examiner is responsible for organising completion of the Joint Examiners’ Declaration Form following an oral examination.
- 7.5.4. Following scrutiny of the submitted final bound copies of the thesis, the Internal Examiner will complete and submit the “Internal Examiner’s Declaration Form” at the time the theses are submitted.
- 7.5.5. The Internal Examiner is responsible for checking that the theses are bound and formatted in accordance with University Regulations.
- 7.5.6. The Internal Examiner is responsible for ensuring that the School Research Administrator has copies of all submitted forms.
- 7.5.7. The Internal Examiner must be aware that all completed forms may be made available to the student in accordance with the Data Protection Act and Freedom of Information Act.
- 7.6. External Examiner’s responsibilities:
- 7.6.1. The External Examiner is responsible for completing and submitting an independent examination report to the PGSC.

7.6.2. The External Examiner is responsible for agreeing the content and signing a Joint Examiners' Recommendation Form completed by the Internal Examiner following an oral examination.

7.6.3. The External Examiner must be aware that all completed forms may be made available to the student in accordance with the Data Protection Act and the Freedom of Information Act.

8. DEVELOPMENT OF RESEARCH AND GENERIC SKILLS

8.1. Student responsibilities:

8.1.1. The Student is required to participate in University induction and transferable skills training courses or any other external training programmes deemed appropriate.

8.1.2. The Student is expected to actively seek out training courses in areas where their skills require further development.

8.1.3. Students should be able to demonstrate that they have undertaken at least 10 days per annum of skills training (including writing and presentation skills) during each year of their course of study.

8.1.4. Students can be required, following the advice of their Supervisors, to undertake taught postgraduate modules in appropriate subjects and can be requested to undertake examinations. These examinations can be used as demonstration of skills development.

8.2. Supervisor responsibilities:

8.2.1. The Supervisor will ensure that the student is aware of generic training opportunities, and will identify specific needs and encourage participation in skills development training.

8.3. School responsibilities:

8.3.1. Subject-specific research training programmes are the responsibility of the School Research Committee.

8.3.2. The School will ensure that opportunities for generic skills training in study skills, teaching, mathematics, statistics, IT, presentation of papers, research writing, small-grant applications and journal submissions are promoted to students. These generic skills training opportunities may be provided by the Institution as well as within the School.

8.4. Institution responsibilities:

8.4.1. The Institution's training framework and training policy for Postgraduate Research Students is the responsibility of the RKEB.

8.4.2. Delivery of generic Student and Supervisor Training is the responsibility of the Academic Enhancement Unit.

8.4.3. The Institution will reasonably support or part-support events promoting interaction, networking and communication between research students across the University and between research students and external bodies.

9. FEEDBACK MECHANISMS

9.1. Student responsibilities:

- 9.1.1. Students are encouraged to provide feedback on progress made and issues arising within their studies. This feedback should be provided to the Supervisor in the first instance.
- 9.1.2. Students should support the working of the Postgraduate Research Student Committee of the School.
- 9.1.3. Nominated student representatives should raise matters of a collective nature and prepare the minutes of the Postgraduate Research Student Committee of the School.
- 9.1.4. One Research Student Representative should be selected in each School. An appointed Research Student Representative will be invited to attend each meeting of RSCG during the academic session.
- 9.1.5. Students who feel that they are not receiving adequate supervision should contact their Supervisors in the first instance or if this is not appropriate the School Research Student Coordinator if required. If the Student remains dissatisfied, they should contact the Head of School or the Dean of the University if the Supervisor is also the Head of School.
- 9.1.6. If the student feels that their work is not progressing satisfactorily for reasons outside their control, then they should take the following steps to remedy the situation:
 - 9.1.6.1. Discuss the matter with the supervisors
 - 9.1.6.2. Discuss the matter with the School Research Student Co-ordinator and/or Head of School;
 - 9.1.6.3. If neither of the above steps resolves the problem, the student should approach the Chair of the PGSC who will investigate and seek to find a solution.
- 9.1.7. In all such cases, it is important for the student to take action as soon as the problem becomes apparent, so that his or her research is not unduly delayed or otherwise impeded.
- 9.1.8. All graduates are encouraged to provide information for first destination surveys, to participate in subsequent surveys and to maintain contact with the University's Graduate Association.
- 9.1.9. Students and graduates are encouraged to take part in any national feedback surveys.

9.2. Supervisor responsibilities:

- 9.2.1. The Supervisor shall provide regular verbal feedback after Progress Meetings. A written record of progress meetings must be produced and kept in the Student File (this is particularly important where there is an issue concerning student performance).
- 9.2.2. The Supervisor, in conjunction with the Director of Research, shall provide written feedback in the form of a report following the Review Meeting at the end of the first 12 months of full-time study (or 24 months part-time) and at the end of the second year.
- 9.2.3. Supervisors are responsible for providing feedback to the School aimed at improving research degree programmes.
- 9.2.4. Supervisors should reflect on their own performance and seek feedback to help them improve and identify their own training needs via the PDR process.

9.3. School responsibilities:

- 9.3.1. It is the responsibility of the School to establish and operate confidential feedback mechanisms for current Students, Supervisory teams and external parties, e.g. examiners, funding bodies, collaborative organisations, employers and alumni. This

feedback should be transparent, specific and timely.

9.3.2. Schools should actively seek confidential feedback from Students on a regular (at least annual) basis. This feedback should be incorporated into a regular review of academic standards.

9.3.3. Where appropriate, the School should seek to provide responses to feedback electronically where possible.

9.3.4. The School will establish a Research Student Committee to meet formally once a year to discuss all aspects of the School's provision for Research Students and to report to the School's Research Committee.

9.3.5. The School is expected to respond constructively to feedback. Information on action taken in response to this feedback should be provided through the School's Research Committee.

9.3.6. The School will conduct surveys up to 10 weeks after the commencement of each academic year on recruitment, admission and induction procedures.

9.3.7. The School should issue exit questionnaires to students on withdrawal or completion, and organise exit interviews conducted by a relevant person who is independent of the Supervisory team.

9.3.8. The School needs to ensure that Students are represented on those policy committees which are directly relevant to their research degree programmes.

9.3.9. Any reasonable academic-related structure set up by the students to promote the research activity of a School (e.g. the Heriot-Watt Research Student Society) in order to deliver the Institution's research strategy can normally be expected to be supported by the School.

9.4. Institution responsibilities

9.4.1. Academic Registry will actively seek feedback from students who have submitted their thesis.

9.4.2. The Institution is expected to respond constructively to any feedback.

9.4.3. The Institution will investigate any formal Appeals in accordance with the procedures laid down in Regulation 36: Student Appeals (<http://www.hw.ac.uk/ordinances/regulations.pdf>)

9.4.4. The Institution will investigate any formal Student Complaints in accordance with the University Complaints policy (<http://www.hw.ac.uk/registry/resources/studentcomplaintpolicy.pdf>).

9.4.5. The Institution will conduct regular surveys of Student satisfaction, locally or as part of national surveys.

10. EXAMINATION PROCEDURES

10.1. Student Responsibilities

10.1.1. The student will be expected to attend the oral examination at the predetermined time and location mutually arranged by the internal Examiner.

10.1.2. Be prepared to be examined on the subject of the thesis or any cognate research areas.

10.1.3. The student shall be permitted to bring the research thesis and any other authorised materials to the oral examination.

10.2. Internal Examiner Responsibilities

10.2.1. The internal Examiner will carry out his/her role as indicated - see Guidelines for Research Oral Examinations (<http://www.hw.ac.uk/registry/resources/guidelinesfororalexaminations.pdf>)

10.2.2. Ensure that the examination was conducted in a room which is fit for purpose (i.e. private, comfortable and not affected by noise, etc).

10.2.3. May communicate informally the recommendation of the examiners to the candidate in accordance with University regulations and explain that the formal recommendation will be provided in writing following approval by PGSC.

10.2.4. Examiners should select one outcome from the permissible judgements.

10.2.1. Whilst there is no formal expectation of the duration of the oral, the examination should be a positive experience for the candidate and the examiner should explore the candidate's contribution to knowledge at the depth expected of the relevant award.

11. **TRANSFER OR TERMINATION OF STUDIES**

11.1. Student Responsibilities

11.1.1. A Student may voluntarily withdraw from a programme of study at any stage.

11.1.2. A Student may apply for transfer between and across programmes of taught and research based study.

11.1.3. A Student must inform their Supervisor and the appropriate School(s) of their intention to withdraw from their studies or to transfer to another programme of study, and to complete the relevant documentation (<http://www.hw.ac.uk/registry/resources/universitywithdrawal.doc>).

11.2. Supervisor responsibilities

11.2.1. If at any stage concerns are raised by the Supervisors or Supervisory team about lack of progress by the Student, then these must be documented. A written plan of action, containing recommendations of improvements to be made to research work, with targets over an agreed period (typically of six months), should be agreed by the Supervisors and School Research Student Co-ordinator in conjunction with the Student. A School Review Meeting should be held at the end of the agreed period.

11.2.2. Should the attendance and/or performance of the Student, in response to a written plan of action, continue to be considered as inadequate, the Supervisor will follow the procedures in the University Regulations with respect to termination of the students studies.

11.3. School responsibilities

11.3.1. A student who has been given a written plan of work following concerns at any stage, and has been deemed not to have demonstrated satisfactory progress at the subsequent School Review Meeting, may be required to withdraw from the University, in accordance with the University Regulations.

11.4. Institutional Responsibilities

11.4.1. The PGSC shall consider and approve proposals submitted by Schools to compulsorily withdraw students from the University on the grounds of unsatisfactory attendance and/or performance. In such cases, the terms of Regulation 6 (<http://www.hw.ac.uk/ordinances/regulations.pdf>) and those of the University's policy on Compulsory Attendance

<http://www.hw.ac.uk/registry/resources/withdrawalprocedures.pdf>) will apply.

11.4.2. The PGSC shall consider and approve proposals submitted by Schools to allow students to transfer to a different programme of study in accordance with the terms of Regulation 6 (<http://www.hw.ac.uk/ordinances/regulations.pdf>).

12. APPEALS AND COMPLAINTS PROCEDURES

12.1. Student responsibilities

12.1.1. Students should contact their Supervisor in the first instance if they feel they have an appeal or complaint that they wish to be considered. If not satisfactorily resolved, it should be taken up with the Head of School. If there is still no satisfactory resolution, the appeal/complaint should be pursued in accordance with the formal appeal/complaints procedures through the Academic Registrar & Deputy Secretary (details are provided below). If the Student has an appeal/complaint relating to the Supervisor arrangements, the student should approach the Head of School in the first instance or a Dean of the University where the Supervisor is also the Head of School.

12.1.2. Students should keep an agreed record of "Progress Meetings" with the Supervisor in case of any future complaint or appeal.

12.1.3. Should a student wish to seek informal advice they may also approach their School Research Student Co-ordinator, the DP R&KT or the Heriot-Watt University Student Union.

12.2. Supervisor responsibilities:

12.2.1. The Supervisor should keep an agreed record of "Progress Meetings" with the Student in case of any future concerns.

12.3. School responsibilities:

12.3.1. The School should ensure that students are provided with clear information about the process for complaints and appeals.

12.3.2. The School will take steps to try to deal with any complaint or appeal in the first instance, and will make efforts to resolve problems in the best interests of both the student and the relevant members of staff.

12.4. Institution responsibilities:

12.4.1. The Institution shall publish an Appeals Procedure (<http://www.hw.ac.uk/students/studies/complaints/student-appeals.htm>) applicable to all categories of Students and will maintain records of Appeals as part of Equal Opportunities monitoring with annual reports to Senate and Court as appropriate.

12.4.2. The Institution will publish a formal Complaints Policy and Procedure (<http://www.hw.ac.uk/students/studies/complaints/complaints.htm>) and will undertake to deal with formal complaints expeditiously, and will maintain records of complaints as part of Equal Opportunities monitoring with annual reports to Senate and Court as appropriate.

13. PLAGIARISM

13.1. Plagiarism, defined as the act of stealing from the writings of another, is a very serious offence. It is generally accepted that such "stealing" occurs where there is no acknowledgement that the writings or ideas belong to another individual. Most academic scholarship involves building on the work of others while acknowledging contribution. It is not wrong to use another person's ideas in the work, providing that the student is honest about the source of the information. Whether using

a quote from a book, website or other electronic media, the student must give the authors name and details of the publication. The same applies when the student is not using direct quotes. Taking a piece of text and rewriting it so that it says the same thing in a slightly different way is also plagiarism if the student does not credit the original author.

- 13.2. There are accepted conventions for making acknowledgements, although the conventions may vary from subject to subject. The student must use a style of acknowledgement that is good practice in their academic discipline. If the student is not sure what constitutes good practice, advice should be sought from the supervisors in the first instance.
- 13.3. When the student undertakes assessed work that involves drawing on the writings or ideas of others, the student should make sure that they acknowledge each contribution in the following way:
 - 13.3.1. **Citations:** when the work of others is used – a direct quotation, a figure or a general idea – the work and its source must be acknowledged and identified.
 - 13.3.2. **Quotations:** inverted commas should always be used to identify direct quotations, and the source of the quotation should be cited.
 - 13.3.3. **References:** list the full publication details of all references used in a references section at the end of a piece of work.
- 13.4. The Student Guide to Plagiarism, available in English, Chinese and Arabic language versions, can be found on the Academic Registry website (<http://www1.hw.ac.uk/committees/ltb/ltb-policies.htm>)
- 13.5. Student responsibilities
 - 13.5.1. The student agrees not to plagiarise material and is responsible for identifying all attributable passages within their thesis.
 - 13.5.2. The student should be aware that his/her written work will be checked for good practice in citation and referencing.
- 13.6. Supervisor's responsibilities
 - 13.6.1. The Supervisor should make every effort to ensure that all attributable passages are identified as such and appropriately referenced in written work by the student.
 - 13.6.2. The Supervisor will assist the student in understanding what constitutes plagiarism and what is good practice in citation and referencing.
 - 13.6.3. The Supervisor, in consultation with the Research Student Co-ordinator, shall determine whether it is appropriate for anti-plagiarism software to be used as a tool to better inform the student as to the meaning of plagiarism.
- 13.7. Institution responsibilities
 - 13.7.1. The Institution shall consider any claim of plagiarism in the thesis and is authorised to discipline a student where plagiarism is identified and may withdraw an award at any time if plagiarism is proven, under the terms of Regulation 50 'Student Discipline' (<http://www.hw.ac.uk/ordinances/regulations.pdf>) and Ordinance 8 'Deprivation or Revocation of Degrees or Other Awards' (<http://www.hw.ac.uk/ordinances/ordinances.pdf>).
 - 13.7.2. The Institution shall make available anti-plagiarism software and provide training on its application.
 - 13.7.3. The Institution may revoke an award if after making an award plagiarism or other academic misconduct is found to have taken place (Regulation 50, Student Discipline and Ordinance 8, Deprivation or Revocation of Degrees or Other Awards).

14. USEFUL ADVICE

- 14.1. This Code of Practice exists to help Student and Supervisor alike. In Europe the term “Thesis Father” or “Thesis Mother” is used to reflect the supportive and nurturing role played at the start by the Supervisor. At the end of a successful study period, the Student may well be leading the Supervisor and, after the Student graduates, could progress to take on the same role for another Student.
- 14.2. Studying for a research degree is like embarking on a long journey – be well prepared, keep alert and be aware of alternative routes, seek out the experiences of a range of fellow travellers, trust your guide and be prepared to take over the leadership when the way forward becomes clear!
- 14.3. Most of all don't panic and enjoy the views and experiences along the way.....

15. USEFUL REFERENCES

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PGR Code of Practice v20 August 2014

Author: Updated by Sam Bitar, Clerk to Postgraduate Studies Committee

Approved by: [PGSC/RES/Academic Registry/RKEB/RSCG/QSC]

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STUDENT – SUPERVISOR AGREEMENT

This is to confirm that we each have a copy of the Research Student Code-of-Practice and agree to adhere to its contents:

Student's Name.

Primary Supervisor's Name

School

Discipline

Course of Study

Date of Commencement of Studies

Student's Signature:

Date:

Primary Supervisor's Signature:

Date:

Signed copies of this form should be retained by:

- The Student
- The Primary Supervisor

And one copy placed in the Student File

MATERNITY LEAVE FOR POSTGRADUATE RESEARCH STUDENTS

Introduction

As a responsible employer the University has a legal obligation to have in place appropriate policies and procedures for dealing with staff maternity issues. These arrangements are focussed around the University's Maternity Leave Policy available via:-

http://www.hw.ac.uk/hr/p_maternity.php

This paper provides details of the comparable policy for postgraduate students.

Heriot-Watt University Policy

Concessionary arrangements

That for all postgraduate students the PGSC (PSC) can approve requests for maternity related interruptions

- o The normal expectation is that maternity related interruptions will be for no longer than nine months although a maximum of twelve months might be available for such purposes.
- o Such requests will be subject to the normal requirements for medical evidence and must have School/supervisor support
- o Such requests should be made in advance.

In considering such requests PSC will need to consider (in liaison with the relevant students/supervisors) whether a withdrawal from programme and a revised start date might be a more appropriate concession. This might be particularly relevant for masters students or those research students who are in the first year of their studies.

PSC may also need to differentiate between periods of interruption related to maternity and those related to more general family responsibilities.

An interruption of studies of up to two weeks should also be made available to students who expect to have to support the mother (in relation to maternity) or primary carer (in relation to adoption) at or after the birth or adoption of a child.

- o Longer periods of interruption will only be available in the event that the student can demonstrate a significant change of circumstances due to the birth of a child (for example having to return to work in order to support the child), and in accordance with normal PSC procedures.

Notwithstanding the above points, please note that such interruptions are a concession and not a right. For any concession requests submitted to PSC, the committee reserves the right to reject those which it feels are not sufficiently justified.

Funding arrangements

The University is not liable for any costs associated with postgraduate maternity leave apart from in the following exception:-

- o For postgraduate students who are funded from University or School funds full-time award holders will be entitled to four months paid maternity leave followed by an unpaid period of suspension of up to eight months, unless the student has been notified of and accepted alternative provisions within the terms of their scholarship agreement.

For postgraduate students who are funded by external bodies the normal regulations of those bodies will apply.

When planning in relation to the management and allocation of externally derived funding (e.g. Doctoral or Collaborative Training Account funding) Schools should bear in mind that funding might need to be allocated for maternity leave as appropriate.

For students who are funded from a specific research grant the normal regulations of that body will

apply. In instances where the research grant has expired before the end of the period of paid maternity leave the grant holder should liaise with the funding body with regard to a possible funding/grant extension. The University will not normally be liable for the payment of maternity leave unless this is required by the conditions of the grant or unless the student has been otherwise informed.

PATERNITY LEAVE FOR POSTGRADUATE RESEARCH STUDENTS

Eligibility

Postgraduate Research Students are entitled to paternity leave if they:

- have or expects to have responsibility for the baby's upbringing and is either or both the biological father of his baby/the mother's husband or partner
- and are taking the time off either to support the mother or to care for the new baby

Length of Paternity Leave

Postgraduate students can choose whether to take either one week or two consecutive weeks paternity leave; this cannot be taken as odd days or two separate weeks.

Leave can only start from the actual date of birth. It can start on any day of the week, as long as the required notice has been given. It must be completed within 8 weeks of the actual date of birth or from the first day of the expected week of childbirth, whichever is the later.

Procedure

For all enrolled postgraduate research students, the School's Director of Research can approve requests for up to two weeks paternity related interruptions.

- Such requests will be subject to the normal requirements for medical evidence and must have supervisor support.
- Such requests should be made in advance.
- Longer periods of interruption can be approved by PSC but will only be available in the event that the student can demonstrate a significant change in circumstances due to the birth of a child (for example having to return to work in order to support the child) and in accordance with normal PSC procedures.

Notwithstanding the above points, please note that such interruptions are a concession and not a right. For any concession requests submitted to PSC, the committee reserves the right to reject those which it feels are not sufficiently justified.

POSTGRADUATE RESEARCH STUDENTS LONG-TERM SICKNESS POLICY

Any period of absence through illness or injury should be reported by the student to their Supervisor, and by a student's Supervisor or other member of the student's supervisory team to the Postgraduate Office of the School concerned.

If students are absent through illness for a period exceeding two weeks, the student's sponsor would normally be advised.

For postgraduate students who are funded by external bodies the normal regulations of those bodies will apply.

For postgraduate students who are funded from University or School funds, award holders will be entitled to three months paid sick leave within the duration of the award.

Unless the regulations pertaining to the particular sponsors state otherwise, for periods of illness exceeding three months a suspension of studies should be put in place until such time as the Supervisor confirms the return of the student. Any studentship award should be placed in unpaid abeyance during such a period.

Temporary Suspension of Studies must be approved by PGSC. Amendments to Enrolment (for example, for the purposes of extending a student's study period) may be approved by Schools for a maximum of 12 additional months. Any further Amendment to Enrolment requires the approval of PGSC.