UNIVERSITY OF BIRMINGHAM

CODE OF PRACTICE ON THE SUPERVISION AND MONITORING PROGRESS OF POSTGRADUATE RESEARCHERS

Index of points

1. Introduction

2. Supervision Arrangements

3. Monitoring and Review of Progress

4. Responsibilities of Schools

5. Responsibilities of Supervisors, Academic Advisers and Mentors

6. Responsibilities of Postgraduate Researchers

1. Introduction

1.1 This Code of Practice applies to Postgraduate Registered Students undertaking programmes defined in the University's Regulations as research degree programmes. In this Code of Practice "Postgraduate Researcher" (PGR) means a Postgraduate Registered Student undertaking a research degree programme.

1.2 It is important that, as part of the educational process, postgraduate researchers receive appropriate supervision, that their progress is carefully monitored, and that they receive feedback in good time to enable them to adjust their patterns of work as necessary. The aim of this Code of Practice is to recommend a systematic framework for postgraduate researchers and staff, to ensure that these aims are achieved and the thesis submitted within the maximum period of time permitted for the qualification as set out in Regulation 6.2.3. The Code of Practice sets out the responsibilities to be carried out both at School level and by individual staff and postgraduate researchers.

1.3 The Code of Practice defines a minimum basis for supervising and monitoring the progress of postgraduate researchers and Schools may wish to operate procedures and requirements additional to those defined in the Code of Practice. If particular circumstances make any requirement of this Code of Practice inappropriate, specific approval for exemption must be obtained from the Senate or delegated authority.

1.4 Where a question of interpretation arises reference should be made to the Regulations.

1.5 It is recognised that the unit responsible for certain aspects of the monitoring of postgraduate researchers varies for good reason across the University and may be either the College or the School. For the sake of brevity the following Code of Practice refers only to the School (except when referring to those aspects of the procedures which are clearly a University-level responsibility). All references to the School should therefore be interpreted as referring to College or School in accordance with practice in the particular part of the University concerned. The term "Head of School" should be interpreted as referring to "The Head of School or nominee".

1.6 This Code of Practice applies to all postgraduate researchers from the date of admission through to thesis submission and examination.

2. Supervision Arrangements

2.1 The Head of School is responsible for the co-ordination of arrangements for supervision of postgraduate researchers. However, the Head of School may choose to delegate the operation of such arrangements to another member of academic staff. In either case it should be made clear to all staff and postgraduate researchers who are undertaking this task.

2.2 Each postgraduate researcher must be provided with:

A lead supervisor
A co-supervisor
A mentor

The same appointments would normally be expected to continue throughout a postgraduate researcher's full period of study.

2.3 Co-supervision appointments should reflect the individual needs of the postgraduate

researchers and the context of their study.

2.4 Whatever supervisory arrangements are put in place, a lead supervisor should be designated who has overall responsibility for advising interested parties of the progress of the postgraduate researcher's research.

2.5 In the case of collaborative or interdisciplinary programmes where more than one School or Institution is involved in the postgraduate researcher's programme of research, at least one co-supervisor must be appointed in the partner School/Institution.

2.6 In the case of split location postgraduate research study, a local academic adviser should be appointed. The School may, at its own discretion, pay an honorarium to the adviser. The University of Birmingham retains full control over the supervision and must be the final arbiter in all cases. In accordance with the Code of Practice on Split Location Study for Postgraduate Researchers, the Research Progress and Awards Sub Panel shall approve such cases where a local academic advisor is not appointed.

2.7 When considering applications from prospective postgraduate researchers, the Head of School or nominee should ensure that appropriate supervisory support is available. The Head of School (or nominee) should also ensure that the teaching, research interests and other supervisory responsibilities of staff are taken into account when supervisory arrangements are being made; that individual supervisors are not overloaded; that postgraduate researchers are appointed a lead and co-supervisor(s) from a relevant research area; and that the University can meet its responsibilities as a Home Office Tier 4 Sponsor.

2.8 In clauses 2.8, "Supervisor" shall mean lead supervisor and/or co-supervisor (as the case may be) and "conflict of interest" shall mean the existence of a relationship between the Supervisor and postgraduate researcher (whether personal, family, financial or otherwise), which may prevent or adversely affect the impartial supervision of the postgraduate researcher's research.

2.8. 1 When considering the suitability of a member of staff to take on the role of Supervisor for a particular postgraduate researcher, the Head of School (or nominee) shall in each case ascertain from such member of staff whether there is an actual or potential conflict of interest.

2.8. 2 The Head of School (or nominee) shall not appoint such member of staff to the role of Supervisor if satisfied that doing so would create a conflict of interest.

2.8. 3 Following the appointment of a Supervisor, such Supervisor should notify the Head of School forthwith if a conflict of interest arises during the course of the supervision period and the Head of School reserves the right to appoint an alternative Supervisor in such circumstances.

Training and Qualifications

2.9 Each member of the supervisory team should normally be a member of the University teaching or research staff , who is experienced in and actively engaged in research, who holds a research degree at the same level as, or higher than, the degree being supervised or who has appropriate equivalent experience or professional qualifications or status. Postdoctoral researchers are permitted to act as co-supervisors provided that the contract of employment covers the normal duration of the postgraduate

researcher's registered programme of study. In exceptional cases (see 2.5), the co-supervisor may be appointed from outside the University.

2.10 If a proposed supervisor is not qualified to the appropriate level s/he shall have compensating academic experience and/or status in the discipline area. The approval of Senate or delegated authority should be sought for a proposed lead or co-supervisor to supervise to a higher level than his or her own qualifications. Approval to supervise in these circumstances would not be on an individual postgraduate researcher basis but would be given once to individual members of staff.

2.11 All staff who are either new to the University and/or new to supervision and intend to supervise postgraduate researchers must attend a half day supervision training workshop. All staff who supervise postgraduate researchers are also required to complete a biennial supervision refresher course.

2.12 A probationary member of staff or one less experienced in research may be appointed as a co-supervisor. With the approval of the Senate or delegated authority a probationary member of staff may be appointed as a lead supervisor providing that the co-supervisor is an experienced supervisor.

2.13 An honorary member of staff may be appointed as a co-supervisor. With the approval of the Senate or delegated authority, an honorary member of staff may be appointed as a lead supervisor providing the co-supervisor holds a substantive post with the University. (See 2.16 below.)

2.14 With the approval of Senate or delegated authority, an Emeritus Professor may be appointed as a lead or co-supervisor providing the other (or another) supervisor holds a substantive post with the University. (See 2.16 below.)

2.15 With the approval of Senate or delegated authority, a Recognised Supervisor may be appointed as a lead or co-supervisor providing the other (or another) supervisor holds a substantive post with the University (See 2.16 below.).

2.16 To ensure compliance with the University's Tier 4 Sponsor Licence, it is not possible for individuals not employed by the University of Birmingham (including honorary members of staff, recognised supervisors or Emeritus Professors) to be appointed as a lead supervisor for a PGR holding a Tier 4 Student Visa, but they may be appointed as a co-supervisor.

2.17 With the approval of the Senate or Delegated Authority, in instances where supervision from suitably qualified and experienced persons based in other institutions is deemed appropriate, an external supervisor may be appointed as a co-supervisor for some postgraduate researchers providing a lead supervisor who holds a substantive post at the University is appointed. The role of the external supervisor should be clearly defined and should not duplicate or conflict with the role of the University of Birmingham supervisor as set out in Section 5 of this Code of Practice. The University retains full control over the supervisory arrangements and must be the final arbiter in all cases.

Where appropriate, payment to the external supervisor is the responsibility of the School.

2.18 Where approval of the Senate or Delegated Authority is required, this should be requested on a case by case basis via the Supervisor Approval form available at:

https://intranet.birmingham.ac.uk/as/studentservices/graduateschool/staff/index.aspx.

Frequency of Supervision

2.19 If a lead supervisor ceases to be employed by the University they may, with the agreement of Senate or delegated authority as detailed in 2.17, be appointed as a co-supervisor. A new lead supervisor will need to be appointed by the Head of School or nominee. The former lead supervisor may still make a significant intellectual contribution to the student's supervision, but the new lead supervisor has responsibility for the student as defined in 2.4.

2.20 The first meeting should normally take place within 10 days of the start of a postgraduate researcher's period of study and should involve the lead supervisor. Discussion should normally include supervision arrangements, planning for the postgraduate researcher's research, and the requirements of the particular degree for which they are registered, especially the time limits for completion and the criteria for the award of the degree.

2.21 The frequency of formal supervisory consultations will vary according to the conventions of the subject area; the nature of the research; the postgraduate researcher's ability; the stage of their studies; the progress being made and whether studies are on a full or part-time basis. However, consultations should take place at least monthly for full time postgraduate researchers (and the equivalent part time). This requirement is also applicable to those studying via distance learning and on a split location basis. These supervisory consultations should be additional to those instances when the supervisor(s) and postgraduate researcher meet on an informal basis.

For research programmes with taught elements where the taught modules are completed before the research topic is decided and supervisors allocated, supervision meetings may be delayed until completion of the taught elements. In these circumstances alternative arrangements must be made for monitoring progress and academic engagement of Tier 4 Student Visa holders.

2.22 A supervision meeting is defined as involving contact between the supervisor and the PGR. The University expects that this will normally be through a scheduled face to face meeting but for distance learning and split location, and in some instances for campus based PGRs (e.g. when on fieldwork, visiting other institutions or countries), may also include supervision contact via e-mail, telephone, video-conferencing or the use of other systems and packages which enables a discussion between the two parties.

2.23 To ensure compliance with the University's UKVI obligations, international PGRs must apply for authorised absence for any periods when they are to be working away from the University. For information see: https://intranet.birmingham.ac.uk/as/registry/studentrecords/services/authorised-absence-international-students.aspx. Please also see the Code of Practice on Student Immigration.

2.24 It is important that the progress of PGRs in thesis awaited status continues to be monitored to the completion of the degree. For those in thesis awaited status the University appreciates that supervision may not be needed as frequently and may be in the format of reading and commenting on draft chapters of the thesis prior to submission rather than face to face meetings. For international PGRs holding a Tier 4

(General) student visa, the University must continue to meet its UKVI Tier Sponsor Licence and monitor academic engagement over 10 contact points in a 12 month period.

2.25 A written record must be kept of formal supervisory consultations and form GRS2 "Supervision Record (Routine)" or an equivalent locally agreed form should be used for this purpose. Postgraduate researchers should be asked to state, for example, work undertaken since their last supervision meetings and supervisors may make comments on a postgraduate researcher's progress. Both the lead and/or co-supervisor(s) and the postgraduate researcher should confirm that the record contains a good summary of the supervision meeting. Supervision records may be held electronically, as word documents. Adobe PDFs or equivalent. The School should agree if records are kept by lead supervisor or by the School administrator . The BIRMS PGR Management System is the recommended tool for recording of supervision meeting.

Absence from University

Supervisors

2.26 During a postgraduate researcher's period of study, members of the supervisory team and/or the mentor may have extended periods of time away from the University, for example, on study leave, sickness, maternity leave, etc. In these cases, it is the Head of School's responsibility to ensure that suitable alternative supervisory and/or pastoral arrangements are made. Individuals may keep in regular contact with the postgraduate researcher via email or telephone/fax, etc. Where the leave is planned (e.g. study leave and maternity leave), alternative arrangements should be made in advance of the period of absence and confirmed to the Postgraduate Researcher at least 4 weeks before the beginning of the period of leave. For extended sick leave alternative arrangements should be put in place as soon as possible. The School should notify the postgraduate researcher of the arrangements in writing and a copy of the correspondence should be placed in their file.

2.27 If a member of the supervisory team and/or the mentor leaves the University, all responsibility for supervisory/mentoring arrangements rests with the Head of School. Under such circumstances, supervision will be arranged, where possible in consultation with the postgraduate researcher, to meet the best interests of the postgraduate researcher in accordance with Section 2 of this Code of Practice and the alternative supervision arrangements should be confirmed to the postgraduate researcher in writing normally within 4 weeks.

Postgraduate Researchers

2.28 For postgraduate researchers, supervision is expected to be carried out throughout the whole academic year with allowances for short-term absences on the part of both staff and postgraduate researchers.

2.29 Postgraduate researchers may, with the prior agreement of their School, take up to eight weeks holiday in each year (pro rata where the registration is for less than an academic year), inclusive of public holidays. The timing of holidays should be agreed with a postgraduate researcher's supervisor and industrial sponsor, if applicable.

2.30 To ensure compliance with the obligations of the University's Tier 4 Sponsor Licence,

international PGRs must apply for authorised absence for any holiday periods when they are to be away from the University. For information on the https://intranet.birmingham.ac.uk/as/studentservices/enquiries/authorised-absence-international-students.aspx.

3. Monitoring and Review of Progress

3.1 Schools should have clear and transparent procedures for the monitoring and review of postgraduate researchers' performance. Postgraduate researchers should be notified in writing by Schools of these procedures and the annual review timetable, during induction and through School documentation.

3.2 The progress of postgraduate researchers, irrespective of whether they are normally registered or in Thesis Awaited Status, should be monitored regularly at School level. The arrangements for such monitoring may vary according to the subject discipline, the size of the School and the number of postgraduate researchers. However, the academic progress of postgraduate researchers should be formally monitored at least once in the academic year for all postgraduate researchers. Schools should ensure that appropriate arrangements are made for PGRs studying by distance learning and those registered on a split location basis. Please see the Code of Practice on Split Location for Postgraduate Researchers and the Code of Practice on Alternative Modes of Delivery Programmes.

3.3 In accordance with the Code of Practice on Plagiarism each School should distribute written guidance to postgraduate researchers on starting their programme as to what constitutes adequate referencing and plagiarism, particularly within a subject-specific context, and on how to reference work properly. Each School must establish mechanisms to ensure that at least one interim report is checked for plagiarism via Turnitin and the outcome discussed with the supervisory team and reported up in the annual progress review.

3.4 Form GRS3 "Progress Review" or an equivalent locally agreed form should be used for the purpose of monitoring progress. The process should take into account the written comments made by the supervisor(s) and postgraduate researcher on this form. The following issues should be considered:

- Summary of progress, including inadequate progress, work not up to the required standard.
- Assessment of the above by the supervisor(s).
- Whether the postgraduate researcher is likely to submit within the period of study set out in the regulations for their qualification and/or award of grant from a sponsor or Research Council.
- Achievements in any taught elements of the programme
- Schedule for future work.
- Any problems encountered (e.g. access to resources, personal difficulties) and appropriate action taken.
- Follow up on any issues from the previous review period.
- Progress towards meeting the skills listed in the Development Needs Analysis.
- The outcome of any reports submitted through Turnitin.

3.5 Schools should establish a School-level Progress Panel that should have overall responsibility for monitoring and review and which should include at least three members of academic staff, the majority of whom are independent of the supervisory team. Consideration should be given to potential conflicts of interest before appointing

staff to the Panel (see section 4 Code of Practice on Assessment of Research Degree Theses).

3.6 The School Progress Panel should meet at least once in the academic year, at an appropriate point, to discuss postgraduate researchers' academic progress, other relevant issues and to make or endorse recommendations. Such recommendations might include:

- Progress is satisfactory and the postgraduate researcher may continue with their studies as a normally registered postgraduate researcher, paying tuition fees.
- Progress is satisfactory and the postgraduate researcher, having completed the minimum period of study, has completed the primary research activity and may proceed to Thesis Awaited status, paying the continuation fee.
- Progress is unsatisfactory. A work plan of supportive or corrective action must be agreed and a date for further review of progress set. Where the initial progress review is at the end of the academic year, the postgraduate researcher would be permitted to proceed into the next year but confirmation of their continued registration must be confirmed once the second progress review had been completed. If progress were to remain unsatisfactory, the postgraduate researcher may be required to withdraw (see Regulation 7.4.9).
- Transfer to a master's programme from a doctoral programme (postgraduate researcher would have the right of appeal) (see Regulation 7.4.8 (e)).
- Transfer to a doctoral programme from a master's programme (see Regulation 7.4.8(b)).
- Withdraw: This recommendation would have to be taken in accordance with the relevant University regulation. The postgraduate researcher would have the right of appeal (see Regulation 7.4.9 and Code of Practice for Reasonable Diligence).

Where the recommendation results in a change of programme or registration status, the recommendations should be transmitted to the Registry for implementation. End of year progress recommendations must be entered on to BIRMS.

3.7 Schools should provide postgraduate researchers with appropriate feedback as part of the monitoring process, and should advise postgraduate researchers, in writing, of the recommendations resulting from progress reviews.

3.8 Any concerns arising about postgraduate researchers' progress outside the formal progress reviews should be raised immediately with the Chair of the School Progress Panel without waiting for the next formal meeting of the Panel. The Chair of the School Progress Panel and the Head of School should instigate whatever action and/or investigations might be appropriate. It may be appropriate to instigate procedures as set out in the Code of Practice for Reasonable Diligence.

Feedback on Arrangements for Supervision and Mentoring

3.9 Each School should provide postgraduate researchers with an opportunity to comment on the standard of supervision, academic advice and mentoring received, through a variety of means that may include questionnaires.

3.10 Each School should have clearly defined and transparent procedures for postgraduate researchers to make representation to the Head of School (or other designated member of staff or body) if they feel that their work is not proceeding satisfactorily for reasons outside their control, including the breakdown of relationships with members of their supervisory team and/or mentor. These procedures should make clear to postgraduate researchers that, among other outcomes, they provide a means for

discussing the possibility of changing a member of the supervisory team and/or mentor. If the Head of School is a member of the supervisory team, representation may be made to the appropriate Head of College. The procedures should be made available to all postgraduate researchers at the commencement of their studies both verbally signposted at an appropriate meeting, and in writing.

3.11 Such procedures should operate expeditiously in order to avoid complaints and loss of time in relation to the research or its funding.

4. Responsibilities of Schools

Schools are responsible for ensuring that:

4.1 All members of the supervisory team, and postgraduate researchers are:

- made aware of Regulations and Codes of Practice applicable to postgraduate researchers.

- issued with safety instructions and for monitoring compliance with such instruction in accordance with legal requirements and such requirements set out in the University's Health & Safety: https://intranet.birmingham.ac.uk/hr/wellbeing/worksafe/documents/policy/hspolicystatement.aspx

- comply with the University's: Code of Conduct for Research, Data Protection Policy and Computing Policy.

- aware of and comply with any School guidelines and procedures regarding research degrees and are issued with a handbook (either electronic or hardcopy) which sets out School procedures relating to research degrees.

4.2 Access to facilities

Schools should ensure that every effort is made in the provision of the following :

- Access to a desk within designated, secure office space, which may be shared with other postgraduate researchers or staff.
- Lockable storage for personal belongings.
- Access to computing facilities (including appropriate software such as word processing and spreadsheets, statistical and graphics packages, databases, and electronic mail) in rooms not normally bookable for teaching or meetings.
- Photocopying facilities for thesis-related work.
- Reasonable access to telephones (internal and external) for thesis-related work.
- Appropriate access to stationery, consumables for computing, postage
- Some financial support to enable postgraduate researchers to attend conferences (other than when in Thesis Awaited Status)

and should advise the postgraduate researcher at the time of application, or as soon afterwards as may be practicable before arrival, what personal research facilities (e.g. individual work space and support services) will be available to them and for how long.

4.3 Appropriate arrangements are made for access to facilities out of normal office hours, taking account of security and safety of postgraduate researchers and facilities.

Induction

4.4 Induction for all new postgraduate researchers (full and part-time) covers topics such as: introduction to the University; research at the University; life as a postgraduate researcher; the role of the University's Graduate School; supervision arrangements - rights and responsibilities of postgraduate researcher and supervisor; the role of the mentor; research training opportunities, postgraduate researcher representation.

4.5 Training in research techniques and in appropriate generic skills is an integral part of the research programme.

4.6 Postgraduate researchers involved in teaching must attend appropriate training courses (See Code of Practice on the Teaching & Academic Support of Undergraduate and Postgraduate Taught Students by Teaching Assistants and Undergraduates).

Plagiarism

4.7 To provide clear documentation to postgraduate researchers at the start of each academic year confirming the process for checking work for plagiarism and that the research reports and the draft thesis may be run through Turnitin by the School at any point during the registration period.

4.8 To have mechanisms in place for the checking of theses submitted for examination via Turnitin.

5. Responsibilities of Supervisors and Mentors

In accordance with 2.2 and 2.3 of this Code of Practice, each postgraduate researcher should be provided with a lead supervisor, co-supervisor and a mentor. Co-supervision appointments should reflect the individual needs of the postgraduate researcher and the context of their study.

5.1. The lead supervisor is responsible for:

5.1. 1 The overall direction of the postgraduate researcher's research work in consultation with any member of the supervisory team and the mentor, as appropriate.

5.1. 2 Advising the postgraduate researcher of the respective responsibilities and roles of the members of the supervisory team and mentor as appropriate.

5.1. 3 Initiating formal monthly (or equivalent for part time) supervisory consultations in accordance with paragraphs 2.20, 2.21 and 2.22, and setting the agenda for such consultations.

5.1. 4 Advising the mentor of the progress of the postgraduate researcher's research if there are any significant pastoral problems.

5.1. 5 Ensuring that the postgraduate researcher is made aware of inadequacy of progress or of standards of work below that generally expected.

5.1. 6 Ensuring that, where necessary, a risk assessment for off-campus work required of the postgraduate researcher is prepared and that the postgraduate researcher has arranged appropriate insurance cover for the duration of such work.

5.1. 7 On receipt of the Intention to Submit Form signing the form to acknowledge the intended submission and forwarding the signed Form to the Research Student Administration Team. In signing the form the supervisor is not confirming that the thesis is fit for submission or that the submission will be successful.

5.1. 8 Making preliminary arrangements, in conjunction with the Head of School, in advance of the submission of the thesis, for the nomination of internal and external examiner(s) of the thesis, and in advance of the viva, for the nomination of a chairperson.

5.2 The supervisory team is responsible for:

5.2. 1 Ensuring, as appropriate, that the postgraduate researchers' training needs are discussed at the beginning of each year of registration and arrangements made for suitable training, attendance at meetings and courses at appropriate times. This may include giving guidance about the specialist research skills and the generic skills postgraduate researchers should acquire and how this might be done, and, where appropriate, advice about language training for international postgraduate researchers. Form GRS1 "Development Needs Analysis" should be completed each year. It is acceptable for the completed DNAs to be held electronically, as Adobe PDFs or equivalent. Unless the School prefers central record keeping, the lead supervisor should hold the record.

5.2. 2 Establishing with the postgraduate researcher, at an early stage, an understanding about the nature of the supervisor's responsibilities in relation to written work submitted by the postgraduate researcher. This understanding should be in accordance with any University Regulations or Codes of Practice.

5.3 The direct responsibilities of the supervisors to the postgraduate researcher to include:

5.3. 1 Giving guidance on the following: the nature of research and the standards expected, e.g. academic writing skills, referencing and presenting bibliographic information, including how to avoid unintentional plagiarism and plagiarism issues, proof reading and editorial assistance with academic writing – see Code of Practice on Plagiarism for details; planning of the research programme, literature and sources, attendance at taught classes, research skills and techniques and arranging for training where necessary through the annual Development Needs Analysis process; academic progress, publication of results, intellectual property rights, and ethical considerations; University Regulations and Codes of Practice and administrative processes relating to the PGR's progress, attendance, and examination of the research degree thesis.

5.3. 2 Maintaining contact through regular tutorial, supervision or seminar consultations, in accordance with School policy and in the light of discussion of arrangements with the postgraduate researcher.

5.3. 3 Being accessible at other appropriate times when the postgraduate researcher may need advice; this should normally be within one working week of a postgraduate researcher's request unless the supervisor has informed the postgraduate researcher that they will be absent from the University.

5.3. 4 Giving detailed advice on the necessary completion dates of successive stages of the work so that the thesis may be submitted within the period of study specified in regulations for the particular degree for which the postgraduate researcher is

registered.

5.3 5 Requesting written work as appropriate, and returning such work with constructive criticism and in reasonable time (in normal circumstances written work will be returned within 20 working days).

5.3 6 Arranging, where appropriate, for postgraduate researchers to make oral presentations about their work within the University and at conferences, to publish material from their research (ensuring that proper credit is given for joint publications) and to have practice in oral examinations.

5.3 7 Completing the annual progress review and for making recommendations to the School Progress Panel.

5.3 8 Ensuring that the Postgraduate Researcher is registered for all compulsory and any optional taught modules. Provide timely (within 20 days) feedback on taught modules taken by postgraduate researchers if appropriate

5.3 9 Liaising with the Head of School in making alternative supervisory arrangements at times when they are absent from the University (see 2.23).

5.3 10 Assessing the Turnitin report on the postgraduate researcher's final version submitted for examination and reporting the outcome to the School Plagiarism Officer.

5.3 11 Being available on the day of the oral examination.

5.3 12 In conjunction with the examiners where appropriate, providing advice to the postgraduate researcher concerning the corrections and/or revisions required to the thesis following its examination.

Mentors

5.4 The mentor should be responsible for undertaking duties similar to those of a personal tutor for undergraduates, i.e. pastoral support. They do not need to be an expert in the postgraduate researcher's area of research and should not act as a second supervisor.

5.5 Mentors should be available for consultations but meetings are not compulsory. Discussions between the mentor and postgraduate researcher will remain confidential if the postgraduate researcher so wishes.

5.6 In some Schools it may be appropriate for the Welfare Tutor to undertake this role.

6. Responsibilities of Postgraduate Researchers

6.1 Postgraduate researchers are responsible for the content, completion and submission of their theses for examination within the period of study for their particular degree as prescribed in Regulation 6.2.3(a).

6.2 The further responsibilities of postgraduate researchers include:

6.2. 1 Ensuring that they are familiar with and comply with University Regulations, Codes of Practice, School guidelines and procedures relating to their degree, and

terms of any sponsorship.

6.2. 2 Ensuring that in every year of registration they meet all of the University's administrative arrangements, including completing the annual online registration process at http://www.my.bham.ac.uk.

6.2. 3 Discussing with their supervisor(s) the type of guidance and comment they find most helpful, and agreeing a schedule of consultations.

6.2. 4 Initiating any necessary supervisory consultations other than those prescribed in paragraphs 2.20 and 5.1.3 and setting the agenda for such consultations.

6.2. 5 Taking the initiative in raising problems or difficulties (including illness or other exceptional circumstances), however elementary they may seem (e.g. in relation to supervision, project work or facilities provided) with the supervisor(s), co-supervisor or mentor as appropriate.

6.2. 6 Ensuring work progresses in accordance with the stages agreed with the supervisor(s), including in particular the presentation of required written material in sufficient time to allow for comments and discussion before proceeding to the next stage.

6.2. 7 Completing the Development Needs Analysis, in conjunction with their supervisor; attending research training and other appropriate training as directed by the supervisor(s), presenting papers within the University and at conferences, preparing papers for presentation, etc. as appropriate.

6.2. 8 In accordance with School procedures to provide an annual formal report on progress, for example a GRS3 form.

6.2. 9 Ensuring that they understand the nature of their supervisor's responsibilities in relation to written work submitted and that supervisors have many other commitments.

6.2. 10 Advising their supervisors(s) of any illness, holidays or any other occasions (for example, for urgent personal circumstances) when they will be absent from the University or from their study taking note of Regulation (6.2.3(g)) and the Code of Practice on Leave of Absence Procedures.

6.2. 11 Deciding when to submit their thesis (after the minimum period of study and before the end of the maximum period of study specified in Regulations), taking due account of the supervisor's opinion which is only advisory.

6.2. 12 Advising the supervisor of the proposed date of submission by submitting a "Notice of intention to Submit a Thesis" at least three months before they are due to submit their theses, in order that arrangements for the nomination of examiners may commence.

6.2. 13 On submission of the thesis for examination at the same time to submit an exact copy electronically for checking through Turnitin.

6.2. 14 Where a 'third party' editor has been used, to comply with the University's statement on the use of Third Party Editors, available at https://intranet.birmingham.ac.uk/as/studentservices/graduateschool/rsa/submittin

gyourthesis.aspx.