



**FACULTY OF ENGINEERING AND PHYSICAL SCIENCES
GRADUATE SCHOOL**

**POSTGRADUATE RESEARCH STUDENT
HANDBOOK**

2011/12 Session

Issued: September 2011

WELCOME....to the Faculty of Engineering & Physical Sciences

I am delighted to welcome you to the University of Surrey and to the Faculty of Engineering and Physical Sciences in particular.

As the new Dean I was attracted to Surrey by the University's ultra-modern facilities and its strong commitment to both teaching and research. This is an excellent place in which to study and you will soon find out that it is also an enjoyable one!

Science, engineering and technology are crucially important disciplines, not just because they ultimately underpin today's economy, but because they are essential to providing answers for tomorrow's problems. More than ever before, humankind faces serious hurdles which need to be overcome; it is your generation that will provide the solutions.

The thought alone is reason to be inspired. But the reward gained from studying the science and engineering disciplines goes well beyond their intrinsic relevance and worth to society. There is the pleasure of finding out how things work, of exploring the world around us and helping to better understand and explain what goes on and how we can improve upon it. To have the chance to spend time on an intellectual adventure is a great privilege; I would urge all of you to take fullest advantage of the opportunities that will be opened up once you commence your studies.

And what of the Faculty you are joining? We have an enviable and worldwide reputation for the outstanding quality of our research across all areas. Research is important in two ways: both in its own right and because it informs our teaching, ensuring that it remains at the cutting edge in terms of relevance and excellence.

Many significant achievements in research have been made by Faculty staff, foremost including major contributions to the development of small satellites and the lasers found in all CD and DVD players. Having world-leading researchers directly interacting with students on a daily basis hugely enhances the learning experience and the overall education received. This is one of the reasons why Surrey has consistently led the way in graduate employment in the UK, something which, of course, is important to you all.

Naturally, there is more to life as a student than study. There are many opportunities to pursue other interests, and to develop friendships which will last a lifetime. Extensive redevelopment of campus facilities includes the construction of new accommodation and some of the finest sporting facilities available to any students in the UK. Work hard, play hard... a good motto for maximising the benefits of your time here with us.

It only remains for me to wish each and every one of you the very best as you start your studies. My colleagues and I look forward to working with you over the coming months and years.

Professor Jonathan Seville
Dean, Faculty of Engineering and Physical Sciences

PEOPLE IN THE FACULTY

The Director of the Graduate School takes overall responsibility for the postgraduate research degree programmes and recommendations relating to students on these programmes within the Faculty, and reports to the Dean of Faculty and to the Associate Dean for Research.

The day-to-day administration of the postgraduate research programmes is co-ordinated through the Faculty Postgraduate Research Office located in Room 19AA02. All general enquiries relating to student registration, fees, supervision, assessment or training should be made to the Postgraduate Research Office in the first instance.

Postgraduate Research Administration Staff

Director of the Graduate School	Prof Chris France c.france@surrey.ac.uk
Postgraduate Administration Manager	Mrs Jayne Speed j.speed@surrey.ac.uk
Postgraduate Research Officer for Engineering, Physics, Computing and Mathematics	Ms Janette Redman j.redman@surrey.ac.uk
Postgraduate Research Officer for Electronic Engineering (ATI, CVSSP, CCSR and SSC)	Miss Alexia Smith a.m.smith@surrey.ac.uk

Enquiries relating to research or facilities specific to a given Research Centre or Department can be addressed to the Head or their nominee. Currently, the major Research Centres and Departments are:

Centre for Communication Systems Research (CCSR)	Professor Rahim Tafazolli
Surrey Space Centre (SSC)	Professor Sir Martin Sweeting OBE
Centre for Vision, Speech and Signal Processing (CVSSP)	Professor Josef Kittler
Advanced Technology Institute (ATI)	Professor Ravi Silva
Computing	Professor Tony Ho
Mathematics	Professor Mark Roberts
Physics	Professor Paul Sellin
Civil, Chemical and Environmental Engineering (CCE)	Professor Marios Chryssanthopoulos
Mechanical, Medical and Aerospace Engineering (MMA)	Professor Andy Crocombe

UNIVERSITY INFORMATION & CONTACTS

Please make time to familiarise yourself with the University website and make use of the abundance of information within it that is there for your benefit. The information, as with any website, is updated more frequently than any of our written materials and we therefore encourage you to use this resource to it's full.

All staff are listed on the University email system – and you can discover who is responsible for a particular area by looking at their specific web pages.

If you have any difficulty locating a member of staff or you can't find your way around the website – please do not hesitate to contact the Postgraduate Research Officers who will be able to assist.

Please see www.surrey.ac.uk.

A few wise words on the important subject of safety.....

SAFETY

Levels of danger may be heightened in a research laboratory. Lasers and acids, for example, can cause eye damage. Perhaps the biggest, least glamorous and least discussed danger arises from the tendency exhibited by heavy objects to decrease their potential energy. It is not up to you to decide whether an unchained gas cylinder is more dangerous than a high voltage power supply with an unguarded terminal. They are both potentially lethal. The Faculty Health and Safety Officer deals with all health and safety matters. The rules contained within the Health & Safety Policy must be followed. Please acquaint yourself with the information on the University website on this subject. It is compulsory that you attend a Health and Safety briefing when you join the Faculty.

Faculty Safety Adviser & Deputies

For information on safety matters in the Faculty, contact Mr Kevin Joyce at k.joyce@surrey.ac.uk. Colin Taylor (deputy) is contactable at c.taylor@surrey.ac.uk. Please contact your centre administrator for details of your Centre's safety representative. If you have any safety concerns at all whilst you are here at Surrey, please bring those concerns to the attention of your research centre safety representative. The University's Radiation Protection Advisor (RPA) is Nigel Cridland (Health Protection Agency). There are two Radiation Protection Co-ordinators; Neil Chapman (FHMS) and Kevin Joyce (FEPS). There is a Radiation Protection Supervisor (RPS) for each facility. In an emergency, the initial point of contact is the Radiation Protection Co-ordinator (RPC), Kevin Joyce.

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1. GREAT EXPECTATIONS

For the last fifteen years or more, teachers will have told you how the Universe works. With the exception of project work, you may have had little opportunity to explore and to say something new. This will now become a focus for your research: to say something genuinely new - and useful. It is not easy, but it can be fascinating, exhilarating, but also infuriating. The Faculty's academic, research and support staff will do their utmost to make the period you spend with us a success.

Success will depend crucially on you and also on effective interaction with others. A good professional working relationship with your supervisor is key to the research process. Your supervisor will start you off with ideas and a direction in which to explore but is unlikely to know in advance a path to the solution. Finding a satisfactory solution quickly can sometimes involve luck – but we must usually persevere without it. Rarely does a thesis end at a point that was recognised at the start. Indeed, one can and often must redirect one's effort as one learns things along the way.

Research should not demand all of your energy for seven days a week and eighteen hours a day. Having said this, very few researchers operate successfully on a 9 am – 5 pm working day basis. The commitment needed will also change at different times during the research work. The major commitments are needed, not when things are going well, but when they are not.

Research is a distinctly different activity from undergraduate learning. Neither you nor we know in advance how well you will cope with it. Thus, it is essential that we identify any problem areas as soon as possible. This is what the six-monthly and annual progress reviews are for, and the reason for the initial PhD Probationer degree registration. These provide a safety net in the system and the opportunity to flag, identify and correct problems at an early stage. Subsequent sections of this document discuss the Faculty's procedures for monitoring student progress and for providing experienced advice if and when needed.

Research is highly competitive. If you are engaged in an industrial development, the fact that there may be someone doing something very similar in Moscow or in Boston may matter - but most probably it will not. You may be concerned with slightly different problems, or maybe addressing different markets. In developmental work what matters most is that you come quickly to a near-optimum solution. In research, however, there is a real premium for saying it first. You can get a PhD by describing original work that was new at the time you were doing it, even if someone else then published before you could. While this is a PhD success - in research terms, being beaten to publication would be deemed a failure.

In this sense research is tough and competitive. It is important to appreciate, however, that the competition is with the outside world and not with your colleagues. Indeed, successful research in our chosen research areas dictates that we have several projects in any one area - sufficiently close to foster collaborative work and, above all, collaborative thinking. Related material can justifiably find its way into two PhD theses. All one needs to do is to indicate the fact that a particular section represents joint effort. In the same way, joint authorship of papers, or patents, is the norm and very much encouraged.

'Publish or perish' sounds like a cynical comment. Yet it is clear enough that discovery without communication can only give self-satisfaction. Publishing is a vital part of the scientific process and of building the scientific reputations of the authors and the research institution. For this reason, any material submitted for publication must first have the approval of the supervisor, whether or not he is a co-author. The reasons are twofold. The first is that supervisors will have good advice to offer. Their suggestions can make all the

difference between immediate acceptance and a long-drawn-out battle with referees. The second is the safeguard of the reputation of both the author(s) and the Faculty.

How does one have significant ideas? How does one translate them into significant research achievements? It is difficult to answer these questions. But, there are quite a few aspects of PhD work which can make a very real difference to your effectiveness as a research scientist. A number of these are almost trivial and yet their neglect can lead to delays, even to defeat. The aim of this booklet is to draw your attention to such aspects of research activity.

You are entering a community of research workers in a number of related scientific and technical fields. One project is usually linked to others and we can learn from each other, through cross-fertilisation of ideas. It does happen that someone working in an apparently remote field can contribute to your thinking, and vice versa. Your membership of a particular group is important, but we look to you to create the contacts with other groups that will lead to new ideas, notably through attending research seminars, meetings etc.

During your research degree, you will find, if you have not done so already, that the world is an imperfect place. If you encounter difficulties or defects in the system we encourage you to spend some time thinking about the problem, about possible solutions, and to discuss and work with us in finding an appropriate outcome. Your supervisor would normally be the first point of contact in such instances.

2. SUPERVISION AND MONITORING OF RESEARCH

We hope that you will complete your PhD research and thesis in a timely manner and therefore have put in place several schemes, checks and balances, to assist with this. Firstly, your knowledge and experience from undergraduate studies is unlikely to be sufficient to allow you to define a challenging and coherent research programme. We therefore assign you to an experienced academic who will provide initial guidance in this matter. Your supervisor is probably the most important contact in the early part of your studies and it is therefore important to form a successful working relationship with him/her. Sections below discuss in greater detail what can be reasonably expected from both parties in the relationship. You are also assigned a second supervisor whose role in some instances will be to provide additional specialist expertise in support of your project. In other cases the second supervisor may be less actively involved in your day-to-day supervision but can, and should be consulted for advice on more general research and training issues. Supervisors are required to meet with you at least once a month and to record the meeting. If the principal supervisor is away, another member of the supervisory team would be expected to meet with you. If you are studying away from the university, an appropriate email exchange demonstrating engagement with your studies will be expected and recorded.

Secondly, it is essential to periodically review progress. It is all too easy to get lost in the day-to-day concerns of a research project and thereby lose sight of the bigger picture. It is therefore a University requirement that you complete an Annual Progress Review and a Faculty requirement that you complete intermediate Six-Monthly Progress Reports. The Postgraduate Research Officers will email you at the appropriate time for completion of these reports. Both you and your supervisor are asked to comment on progress and agree targets for future work. It is intended that this process will identify any long-term problems or dissatisfaction on the part of the student or the supervisor. Copies of these review forms are included as an Appendix for your information.

2.1 The Supervisory Relationship (.. or you and your supervisor)

The supervisory relationship is one of the most crucial ingredients underpinning the success of a research degree. The supervisory relationship is two-sided, with obligations on both the supervisor and the student. Like any extended relationship, it has to be worked at and nurtured. It is therefore important to establish clear and explicit mutual expectations in order to minimise the risks and possible difficulties of personality clashes. In order for the working relationship to be as effective as possible, it is a requirement that you meet with your supervisor at least once a month to discuss your progress to date and future plans. This will afford the opportunity to set out joint expectations and to agree working practices.

2.2 Responsibilities.... your Supervisor's

Whilst recognising that the end point of your research - the thesis - must demonstrably be your own work, your supervisor will:

- i) give you guidance about the nature of research and the standards expected, about planning your research programme realistically, about the availability of and access to literature and other sources of information, and about the difficulties associated with plagiarism;
- ii) ensure that you are aware of the University's Ethical Guidelines for Teaching and Research and that these guidelines are observed. Researchers should note that ethics protocols are reviewed on a continuous basis and there are no deadlines for submission (<http://portal.surrey.ac.uk/registry/ethics>;
- iii) agree with you at an early stage in your registration a programme of support and training designed specifically for your needs and to suit your particular area of research. The programme may include, for example, attendance at advanced undergraduate or postgraduate courses offered within the Faculty, elsewhere in the University or possibly at another institution, as appropriate. Training courses and information are provided in the Faculty Postgraduate Research Training Handbook;
- iv) at an early point in your registration, work through with you any costs associated with your chosen research project/design. The supervisor will be responsible for the finances of your project;
- v) arrange with you a programme of regular tutorial and seminar meetings in order to maintain effective oversight of the research project and of your progress generally;
- vi) ensure that you are aware of your responsibilities in terms of health and safety;
- vii) make him-/herself available to you at other appropriate times when you may require guidance or advice;
- viii) give you detailed advice on the various stages of your work, completion dates and requirements with the purpose of helping you to progress without undue hindrance through your project and to submit your thesis within the mutually expected timescale;
- ix) request written work from you in order to discharge his/her responsibilities to the Dean of Faculty under the University's General Regulations for your progress and for consideration of confirmation of PhD registration, where appropriate. Written work will be returned in a reasonable time with constructive, written criticism;
- x) arrange, as part of your research (and communication) training, opportunities for you to present your work and interim results to graduate and/or staff gatherings.

Occasionally this may include presentations to others outside the Faculty or to visitors;

- xi) ensure that you are kept fully aware of your progress and, in particular, if your progress gives cause for concern or if your standard of work falls below that generally expected;
- xii) normally be present at your viva voce examination;
- xiii) be sensitive to the problems of adjustment you may encounter in the UK system of higher education if you have not received your secondary and previous university education in this country. Your supervisor will be able to give you assistance if you encounter language difficulties and advise you where to seek professional help if necessary.

2.3 Responsibilities...Yours

As a research student, you too have responsibilities to your supervisor. You should:

- (i) ensure that you fully understand and follow the regulations governing the PhD degree programmes. The General Regulations are available in the University Calendar;
- (ii) attend diligently to your studies and work in the Faculty for the majority of your time. Generally, most groups permit flexible working hours but you should establish a predictable working pattern so that your supervisor or other people who may need to contact you can do so at short notice. If you are to be absent even for a single day then your centre administrator should be informed;
- iii) ensure that you fully understand the obligations on both you and your supervisor by discussing the supervisory relationship with your supervisor at the earliest opportunity. If there are aspects which you do not fully understand, talk them through with your supervisor;
- iv) discuss with your supervisor the type of guidance and comment you would find most helpful and agree with him/her a programme of study and background reading which best suits your needs in the light of your previous education and your proposed research project. Meetings with your supervisor are an important part of your research and provide an important opportunity for you to discuss the project and your progress with your supervisor(s) and plans for the coming period. Initially, this should be typically a 1 hour weekly meeting to enable you to settle in. Once you feel comfortable and the project is well established, this timetabled meeting should continue although it may be cancelled by mutual agreement if there is no business to be discussed. However, it is absolutely essential that you have at least a monthly meeting with your principal supervisor to review progress and agree aims for the coming period;
- v) at an early stage you may be expected to cost out your project with your supervisor but, if subsequently you run into financial or cash-flow difficulties, alert him/her as soon as possible - he/she may be able to plead your case for additional funds or to assist in other ways;
- vi) take the initiative in raising with your supervisor any problems or difficulties which you may encounter, however trivial at the time these may appear. Your supervisor's time is not limitless and there may be occasions when he or she may simply not be available. Within reason, however, every effort will be made to meet with you as and when necessary;
- vii) ensure that you attend agreed scheduled meetings and maintain the progress of your work in accordance with the stages agreed between you;

viii) under the University's General Regulations for Higher Degrees, your supervisor is responsible to the Dean of Faculty for your progress and is required to submit written reports at six-monthly intervals. It is in your interests to ensure that you submit the necessary interim reports on your work by the specified deadlines;

ix) when the time comes, decide whether you wish to apply for confirmation of your PhD registration or to submit your thesis for an MPhil. Your supervisor will express an opinion but this is advisory only - the decision is yours.

2.4 Responsibility to Others

In addition to those responsibilities you have to your supervisor, you also have responsibilities to those around you and with whom you may be working as part of a team. To this end, ensure that:

(i) you have regard for the safety of yourself and others; be familiar with the University's Health & Safety Policy;

(ii) from time to time you may receive privileged information about, for example, commercial processes. Companies with whom we co-operate are entitled to expect us to respect confidences. Absolute discretion and integrity must be maintained - it is not up to us, or the information-giver, to judge whether passing on the information, in any given case, is harmless or not;

iii) from time to time, it may be necessary to share equipment with other researchers. Be sensitive to their needs as well as to your own, try to be flexible in your requirements and tolerant of what to you may appear to be intolerance on the part of others;

iv) and for the benefit of others, if not yourself, try to ensure that the chaos of paper, materials and/or equipment which may be generated by your project is contained within bounds.

2.5 Grievance Procedures

The relationship between supervisor and student and between a Faculty and student is often a close and beneficial one but, from time to time and for a myriad of reasons, the relationship may become difficult. Often a difficult relationship can be attributed to deficiencies in both parties - try to resolve them between yourselves in the first instance and bring any difficulties into the open. However if this is not possible you should take your concerns to the designated academic in your Centre/Department, the Head of Centre/Department, or to the Director of the Graduate School, as appropriate. You also have the opportunity to raise any difficulties in the Six-Monthly Progress Reports or at the Annual Review Stage.

Broadly speaking "grievances" may be divided into the following categories. The suggested routes for dealing with each of these, within the Faculty, are as follows:

- (i) concern relating to the general content and / or general administrative arrangements associated with programmes of study within a Faculty. *[General academic or administrative concerns relating to a programme of study should be raised at Student Forums and/or be submitted to the Graduate School Steering Committee. Issues relating to a particular module/unit may be raised directly with the lecturer(s)/co-ordinator(s) concerned. Course/module evaluation forms provide further*

opportunity on a confidential basis to identify aspects of particular courses with which students are dissatisfied. If dissatisfaction persists, the supervisor or designated academic in the Centre/Department can be asked to intervene.];

- (ii) *grievance relating to examination and assessment [Concerns arising from examination procedures or about decisions relating to a student's progress arising from examination and assessment procedures should be addressed to the person identified in the Programme Handbook; this might typically be the Head of Centre/Department, Director of Graduate School or Dean of Faculty in the first instance. Thereafter, a student should be referred to the Calendar or Student Handbook in which Appeals procedures are published within the appropriate General Regulations governing their programme(s) of study.];*
- (iii) *grievance or complaint about the nature and quality of general services and facilities provided centrally by the University [Students should be referred to the University's Complaints Procedure. A Guide to the Complaints procedure is available from Student Care Services and the Students' Union. The Guide also provides information on sources of advice about the procedure.];*
- (iv) *grievance of a personal nature [Paragraphs 2.5.1 – 2.5.6] below relate specifically to grievances of a personal nature that may arise from difficulties, for example, with other students, with members of staff, with the student's own supervisor or from inequality of treatment or other forms of discrimination.]*

- 2.5.1 Grievances of a personal nature should, in the first instance, normally be taken up directly with the student's supervisor, who will bring his/her best efforts to bear with appropriate University colleagues to resolve the matter with or on behalf of the student.
- 2.5.2 If the grievance cannot be resolved satisfactorily directly with or by the supervisor, an approach should be made to the designated academic contact within the Centre/Department as appropriate, setting out in writing the difficulties which are unresolved.
- 2.5.3 In the event that the grievance arises from the working relationship with the supervisor, the matter should normally be raised directly with the supervisor in the first instance with a view to resolving the matter.
- 2.5.4 If a resolution cannot be found, an approach should be made to the Director of the Graduate School, who will discuss the matter with the student and the supervisor with a view to finding a resolution.

- 2.5.5 Where the supervisor is also the Dean of Faculty or the Director of the Graduate School, the Dean of Faculty/Director of the Graduate School will identify a named deputy+. Under these circumstances the student should approach the deputy. The procedure outlined in paragraph 2.5.4 will be followed by the deputy.
[+ The Dean of Faculty will appoint a deputy for this purpose whenever, and at the point at which, he/she acts as a supervisor.]
- 2.5.6 If the student is not satisfied with the way the grievance has been dealt with (as per 2.5.2) he/she may seek an appeal of the decision by lodging this with the Dean of Students within 10 working days of receiving the outcome of their grievance by the Dean of Faculty. However if the grievance has been upheld and/or the student has accepted redress (either non-financial or a financial settlement) there are no grounds for appeal. The grounds on which a grievance may be reviewed are restrictive, and cover the following circumstances:
- a) procedural irregularity;
 - b) that the decision was perverse in that it was one which no reasonable person could have reached on the available evidence.
- Note: Whilst complainants whose complaints are not upheld or only partially upheld may feel dissatisfied, being dissatisfied with the outcome is not of itself a ground for appeal.
- If the Dean of Students considers that the student has valid grounds for the progression of an appeal, he will convene a Review Panel to adjudicate on the case. If it is decided that the grounds for appeal do not accord with those prescribed, the Dean of Students will inform the student of that decision and the reasons in writing, normally within 10 working days of receipt of your letter.
- 2.5.7 A Review Panel will consist of two members of the Executive Board, not previously involved in responding to the complaint, and a representative from the Students' Union, and may either conduct its business by correspondence or at a meeting.
- 2.5.8 It is expected that every effort will be made by the parties concerned to resolve an issue by mutual agreement.
- 2.5.9 Further information on the Complaints and Grievance procedures and Academic Appeals procedures are available at:
<http://portal.surrey.ac.uk/calendar/index.jsp>

2.6 Extenuating Circumstances

The University General Regulations allow the Faculty to consider genuine and verifiable extenuating circumstances which may have prevented a student from submitting a piece of work or which may have affected performance and/or progress in their research or examination, or that may result in the need for consideration of an extension of their period of registration.

In the interests of common understanding, the University has drawn up notes of guidance for students on the principles that underpin its consideration of extenuating circumstances, what it regards as acceptable extenuating circumstances, and the sort of supporting

evidence that the University will consider to be acceptable. Further information is available at: <http://portal.surrey.ac.uk/calendar/index.jsp>

2.7 Academic Appeals – A Guide for Students

Whereas grievances may take a variety of forms ranging from personal grievances to complaints about administrative arrangements or services, the appeals procedure is concerned solely with the result of a student's examination. Further information can be found at: <http://portal.surrey.ac.uk/calendar/index.jsp>

2.8 Academic Misconduct

The University defines academic misconduct or fraud as committing an act whereby, in the course of their studies, a student knowingly and deliberately seeks to corrupt, misrepresent or to falsify the outcomes of academic study, scholarship and/or research. The University reserves the right to identify and define different forms of academic misconduct or fraud from time to time: however, the University generally takes them to include:

- misrepresentation of the work or expressed thoughts of others as one's own without permission or acknowledgement (plagiarism);
- fabrication of:
 - The results of work which he/she falsely claims to have undertaken (for example, experiments, interviews, observations or other forms of research and investigation);
 - Results which he or she has not obtained;
 - Results by omission from analysis and publication of selected components of a data set;
- deliberate exploitation of ideas and concepts of others without acknowledgement;
- cheating or otherwise disclosing information with the intent of gaining for oneself or for another an unfair advantage;
- impersonation of another candidate or knowingly to allow another candidate to impersonate him/her in an examination;

Any cases of alleged academic misconduct or fraud will be referred to and investigated by the Faculty in consultation with the Dean of Faculty, the University Academic Registrar, and the Research Degrees Sub-Committee. Further information can be found at: <http://portal.surrey.ac.uk/calendar/index.jsp>

2.9 Plagiarism

The University treats plagiarism very seriously and any student found guilty of committing plagiarism will be subject to the penalties set out in the University's Regulations for the Conduct of Examinations and other Forms of Assessment.

As part of a research degree programme students are required to submit various types of report for progression and assessment (including progress, laboratory and probation confirmation reports, computer programs, and finally the thesis). Whilst researching work students will, of necessity, read other people's work in books, journals, conference papers and lecture notes and therefore students should be aware that plagiarism occurs in the following cases:

- (a) reproduction of all or part of the work of any other student or external author,
- (b) inclusion of portions of another text in your own work,
- (c) copying of phrases or sentences, or direct paraphrasing of these,

(d) copying previously assessed work of your own without the agreement of your supervisor.

In many cases it is necessary to include quotations, sentences and paragraphs of other people's work, be it published or unpublished, in order to highlight a particular point. In such cases, any included text from another source (apart from that containing common knowledge) must be indicated by quotation marks or indented paragraphs that clearly identify the exact extent of this 'borrowed' text, together with appropriate references.

Students who knowingly attempt to submit other persons' thoughts, writings, arguments or ideas as if it were their own work, without explicit acknowledgement of the source and the extent of the quotations, are considered to be guilty of plagiarism.

The act of submission of work will be taken as an implicit declaration by the student that the submission is wholly the student's own work and that all material attributable to others has been clearly identified and fully acknowledged and referenced to its original sources.

Plagiarism is defined by the Shorter Oxford English Dictionary as "*the act of taking and using as one's own the thoughts, writings or inventions of others.*"

It is an act that is not academically acceptable and is regarded by the Faculty and the University as a very serious offence. The University's Code of Practice for Research Degrees (reproduced elsewhere in this Handbook) identifies plagiarism as academic misconduct and emphasises that the penalties that may ensue if plagiarism is proved to have taken place are extremely serious. The Code also notes that ignorance of the issue of plagiarism is not considered a defence.

To learn what previous work has been done within your research area, you will of course have to read books, journals, proceedings of conferences, *etc.* in order to accumulate the relevant information and insight. **To avoid plagiarism, you must treat the information carefully when you write about it.**

Your submitted thesis must be in your own words. **It is not acceptable to copy text verbatim from someone else's work** except, very rarely, in the special circumstances described below.

It is of course essential to refer to the work of others, particularly within the literature review that is a key component of every thesis. However, when you incorporate others' opinions or findings within your work, **the text and style must be your own**, not those of the original author(s), and you **must** give a reference to the source.

For example, in their conclusions to a paper in 1996 reporting an experimental study of a plume in a crossflow, the authors Savory, Toy and Ahmed wrote:

"The data obtained from the plume/crossflow interactions show that far downstream from the exit the main parameter influencing the potential flow quantities (circulation and vortex doublet strength) is the velocity ratio."

If part of your thesis had to mention this paper, then **you** might legitimately write:

'From their experimental study of the interaction between a plume and a crossflow, Savory *et al.* (1996) concluded that the velocity ratio was the principal parameter influencing the potential flow quantities (circulation and vortex doublet strength) at points far downstream from the exit.'

Your reference list would have to include the complete reference to the original paper, *viz.*:
Savory, E., Toy, N. & Ahmed, S. (1996)
Experimental study of a plume in a crossflow Journal of Wind Engineering and Industrial Aerodynamics, vol. 60, pp.195-209

Very rarely, but on some occasions, it may be necessary to reproduce the words of the author exactly, because the statement in the original work is of such importance, or is phrased in such a particular way, that to rewrite would lose the meaning or destroy the significance of the statement. In such cases, the text quoted **must** be enclosed between quotation marks. If it is typed, then the fact that it is a direct quotation can be emphasised by using italics as well as quotation marks.

Often you will find it desirable to include a table, diagram or picture from someone else's work. This action is acceptable **only** if you acknowledge the source. For example, if your thesis includes a diagram reproduced from a certain textbook, then you might legitimately provide the following caption:

Figure 13. Typical relationship between B and the degree of saturation (after Craig, 1997).

You must then include the complete reference to Craig's book in your reference list, namely:
Craig, R.F. (1997) *Soil Mechanics* London, Chapman & Hall, 6th edition, pp.143

Referencing work of others

References are an important part of any piece of scholarly work. It is important for students to know how to acknowledge other people's work. References should be able to guide the reader to additional background information that is relevant to the report being written. For acknowledging a reference the usual method is to add a number either as a superscript or in the text close to where it is appropriate. For example:

The tunnelling of electrons in semiconductors was first reported in the late 1950s [1].

and details of [1] should be given in the reference list at the end of the chapter/report. The following are appropriate examples:

Books:

Adams, R *et al.*, **Organic reactions**, vol. 1. New York: Wiley, 1942
(*et al.* indicates that there are other authors. If there are only two authors you should give both names.)

Articles in Books:

Mann, S H, The use of social indicators in environmental planning. In: Altman, I and Wohlwill, J F, eds., *Human behaviour and environment: advances in theory and research*, vol. 2. London: Plenum, 1977. pp 307-330.

Articles in Journals:

Rostow, W W, The take off into self-sustained economic growth. *Economic Journal*, 66, 25-48, 1956.

Theses:

Hargreaves, E, The tensile deformation of oriented polyvinyl chloride and oriented polyethylene, PhD thesis, University of Surrey, 1970

3. SPECIAL NEEDS AND ADDITIONAL LEARNING SUPPORT

Please contact the Postgraduate Research Office if you think you may have, or know you have, a special educational need or disability.

If you have any special needs (e.g. if you are partially sighted or are dyslexic) then in order for you to make the best academic progress you can, it is important that we know about them. For any student wishing to disclose a special need, a form will need to be completed at the start of your PhD programme. This 'Disclosure of Disability Referral form' can be found in your Induction Pack. If you would like copies of this form after starting your PhD please contact the Research Officers in the Postgraduate Research Office.

Further details on special needs arrangements can be found on the University website.

4. PROJECT ORGANISATION

The research process is rarely one-dimensional. More usually, starting from a specific point, the problem that you are addressing is seen to fall into a number of separate issues. Moreover, you may encounter quite new issues that may absorb a portion of your efforts. At any given moment, you may be planning several different experiments or tackling several theoretical problems. The experiments may require a variety of different actions on your part, ranging from design to the ordering of components. What is the most important action to take NOW? It is not a trivial problem. Very few people are able to keep all the critical issues in mind - and arrive at an optimum order of actions without any conscious effort. Some form of longer term planning is enormously valuable.

While there are no hard rules as to individual student progress, as a PhD timetable we suggest the following as a guide to anticipated progress. We suggest:

First Year: acquire a good knowledge of your experimental or theoretical tools, and of the literature in your field. By the end, you should have a clear idea of what your PhD research programme will be and should be thinking about the PhD confirmation.

Second Year: you should be obtaining good results and writing some up for publication and presentation at conferences.

Third Year: at the start, you should be putting pen to paper for your thesis already. By the middle of the year, you should be writing a thesis based on your past work, and doing only such further work as the act of writing makes you realise is necessary. The thesis should be submitted and the viva held. Slippage by up to twelve months, for good reasons, is tolerated by the Faculty, but no longer.

Afterwards: We hope there will be further papers to write up for publication.

4.1 Planning

How should one do this? People write books on it, hold international conferences - the full sound and fury of mathematics, decorated with lemmas is brought to bear on the problem. Some people even get PhD's for thinking it out. But, we are not designing a new town, or starting up a new institution. We can adopt the simplest method. The basic step is to write down a list of all the tasks that you propose to tackle in the foreseeable future. To be of real value, the list must be very detailed. Having noted down your intentions to carry out an experiment, break this down into subtasks, such as design, ordering, testing, subsections, etc. - and in agreement with your supervisor!

Next, one presumes that you ought to do something with this list. In fact, this is not absolutely essential. The mere act of compiling will have brought the most substantial benefits. Hopefully, you will have noticed that you will not be able to start your experiment if, say, component B has not arrived. If you do no more - but do it regularly - you will probably manage well enough. Yet, one should advocate taking matters one-step further - to attempt a prediction in time.

A simple chart (shown below) can be quite useful. The ends of a line denote when you propose to start, and when to finish, a task. If a particular task can only proceed after the completion of another, the two are linked by a dotted line.

Task	Week 1	Week 2	Week 3	Week 4	...	Week N
A						
B						
C						
D						
E						

There are two possible benefits from carrying out this exercise:

- (i) You get more guidance than from a list as to what to do first.
- (ii) By comparing your predictions with the actuality, and doing this month after month, you will improve your ability to predict the actual time that a given problem would take. (A general, though approximate rule is that theoretical work takes 'e' times the predicted period, experimental work ¼' times.)

4.2 Memoranda

When you have an idea, the outlining of a theory, the beginning of an experimental base, do not wait for total illumination before committing it to paper. Write a memorandum; even if a couple of weeks later you may wish to amend, or even eat your words. Why?

- (i) The act of writing out your story is one of the best ways of clarifying the issues in your own mind.
- (ii) The memos will increase interaction with your supervisor.
- (iii) It is good practice for acquiring the art of telling how it is. It also means that you are writing first drafts of your thesis as you go along.
- (iv) It helps the patent situation, (see Section 10).

4.3 Work Notebooks

Keep one. Include in it records of ideas, proposed experiments, all relevant memos to / from others (e.g. supervisors), experimental results, photos, etc. Date every entry and, in the case of experimental work, make a real effort to record all data that could conceivably be relevant. Do not record data on odd sheets of rough paper with the intention of filling in 'later'. Often, the significance of an experiment (whether it appears successful or otherwise) is not appreciated at the time. If you have a good record, you can go back to it.

The exact form of the notebook is something you should discuss with your supervisor. We would, however, like to make a case for using a fixed leaf, rather than a loose-leaf form. This is in line with normal procedures in many US University and industrial laboratories. The

main reason is relevant to patent applications, (see Section 10). In addition, it enforces the extra discipline in one's working habits. (The fixed leaf form does not stop you from including loose-leaf materials. You simply stick it onto the fixed page.) If it is something that is conceivably critical, from a patent point of view, it can be signed and witnessed. Such notebooks do not have to be pretty - just clear. Also, they do not have to be correct. If something is wrong, you can refer to the gaff and correct it on a later page.

Finally, whatever you do, always keep duplicates (carbons, photocopies, computer discs and print-outs) of any critical results / findings. Keep one set in a place other than where you keep the main notebook. Books do get lost (or flooded, or burgled, or burned). There was a case in recent time, where a student lost the results of two years' worth of work, when almost ready to write a thesis ... Also regularly make back-up tapes / discs of your work on your personal computer, or at least produce a hard copy at regular intervals. As always prevention is much better than cure!

4.4 Finance

The responsibility for financing your project falls on your supervisor. Nevertheless, it is very desirable that you are aware of the funds available and that you act responsibly in spending them. You can do this if, and only if, you keep approximate records of expenses incurred during your work. We have to work within certain constraints. However, if you feel that your project is in cash flow trouble, it is important that you discuss this fully with your supervisor. He can either obtain more money, (with much sweat of brow), or you can together slightly redirect the project aims, to steer round the obstacle. It is not a good idea to proceed with inadequate tools.

4.5 Publications policy

Publishing papers is an essential part of research. However, any material submitted for publication by students must first have the approval of the supervisors, whether or not they are co-authors. There are two reasons for this rule. The first is that supervisors are more experienced. Their suggestions can make all the difference between immediate acceptance and a long-drawn-out battle with referees. The second reason is that the reputations of the authors, of the Department and of the University have to be safeguarded.

4.6 Library Resources

On arrival all students will be given a letter from the University Registry that they can take to the library to apply for a campus card. This card will also act as your library card. A password will be required in order gain access to electronic journals etc. Collaborative and part time students should be able to gain access to the library even if they are not on campus and if you contact the Library they should be able to provide you with information on how to obtain a user name and password. Information about the Library can be found on the University website.

The Researcher's Companion (accessed from the Library web pages) is designed to assist research students in carrying out searches for sources on the internet or on specific on-line databases. As well as general guidance, the site includes interactive exercises for users to assess their skills in performing searches, and contains live links to relevant websites.

4.7 Online Learning

The University has invested in an online resource to allow students to develop their IT skills with a number of Microsoft packages including Word, Excel, Access, PowerPoint, Outlook and

Internet Explorer. This material is available to students both on and off campus on the website under the Faculty's Computing Services pages.

5. VISITORS

The university is a part of the 'Open Society'. With the smallest of reservations, we are open to the world. We have quite a lot of visitors, who come to see us with various purposes in view. Obviously, a particularly important class of visitors are those who are funding some of our research, or, where there is a reasonable hope that they might, in time, be persuaded to do so. It is not easy to obtain support; the academic staffs have to talk to a great number of people with only a low statistical chance of success. A second class is broadly made up of workers in our field from other institutions with whom a real interchange of ideas and information is possible. Then there are eminent people whose activity is more general, but who may nevertheless display very real interest. Also, their judgement of our activities contributes to the general assessment of our capabilities which is of importance to all of us, now and even when you have left the place. We must include colleagues from our Faculty. One does not automatically find out what others are doing - we would encourage you to visit them and find out.

You will often be called on to talk to these visitors, to explain what you are doing - and why. The total demands on your time averaged over a year, arising from this source, would not be a significant portion of your working day. Unfortunately, visitors do not come uniformly spaced in time. They do not even come with a simple statistical probability. They tend to be sharply bunched to the days on either side of conferences in the UK, or in Europe. There may be days when their presence is seriously disruptive. But we would, nevertheless, like you to think of this activity as being part of your job - as indeed it will be when you leave here and go into any other industrial or government laboratory. The need to communicate with the outside world is an inherent and necessary part of the research process.

It is not essential that you are available for all the visitors we receive. There will, however, be occasions when your presence is desirable and, in other cases, essential. In that event, we feel that you should regard this task as taking precedence over all else - say, roughly, the way we expect the academic staff to view their lecturing commitment. We do cancel a lecture now and again when there is a force majeure. However, we try to arrange an alternative lecturer and plan this well ahead of time. We perform with colds and coughs, if we can still speak - sometimes even when we cannot.

Wherever possible, we will give you some background on visitors - what they know, whether they are sharp or blunt. You should learn to pitch your story at different heights, depending on your audience. Almost all research projects can be explained to 'A'-level students (another important class of visitors) if you use the right form of words. If you are face-to-face with an expert, you should still start with the simple picture of what you are doing, but obviously you can rapidly get into the depth of your subject. The art of communicating with visitors is not easy, but it is worth learning. If you should go into industry, you might well have to explain your work to a very bright patent agent one day, a research worker in the same field the next, and to Lord ***** of *****, a part-time member of the Board of Directors, on the next day. Each discussion may, in some sense, be of comparable importance.

In order to discuss your work effectively with a visitor, you need some visual material. In some cases others might explain your work in your absence - and they will need it all the more. It is for this reason that it is vital that you have some propaganda posters (or display boards) permanently mounted on the wall near your bench / desk.

6. MONITORING RESEARCH STUDENT PROGRESS

The main milestones that are compulsory for a full-time student (aimed at completing the PhD programme within three years) are outlined below. The research staff in the Faculty registered for a higher degree on a part-time basis will be expected to follow the same programme as full-time students, as they are pursuing research on that basis.

6.1 Six-Monthly Reports/Annual Review

The University and Faculty require an Annual and Six-monthly Progress Review meeting to take place. The purpose of this procedure is to (i) provide formal academic feedback to the student and (ii) to provide a mechanism for reporting progress and concerns of the student or supervisory team to the Faculty and, if necessary, to the Research Degrees Sub-Committee.

The reviews of progress need to be recorded on the standard University form (available from the Postgraduate Research Office) and is a requirement for all students. The form, except for any confidential comments, will be retained on the student's file.

The Annual Review is in two parts. The first part is to be completed by the student and the second part by the principal supervisor. At the progress review meeting (to be arranged between you and your supervisor) the report will be discussed with the principal supervisor, student and if applicable the co- and collaborative supervisors, who will complete Section 3 of the report. Both the principal supervisor and student should keep a copy of the report.

Once the progress meeting has taken place the report should be signed by all parties. The Head of Centre/Department will then complete section 4. The completed review should be handed to the Faculty Postgraduate Research Office, and the completion of the review is reported to the Research Degrees Sub-Committee. Failure to complete and return these reports may result in your registration being terminated.

6.2 Literature Search

This is a major topic, which should be discussed in detail with your supervisor. At this stage, one can only make a simple comment: if you do not know the literature, you will risk simply repeating results already obtained by others - if you embed yourself too deeply in the literature, you will risk running short of time to do anything original yourself.

6.3 PhD Confirmation

An important reporting period for you will occur in your second year of research. At 13 months (18 months for maths students) you will be expected to submit a significant progress report. The report, of recommended length 30 A4 pages, will be the subject of a 'viva voce'. In this report, you should identify a specific research area for future work, and include information from a significant literature search, to show that you are familiar with previous work in the area. You should also demonstrate that you have an appreciation of major issues related to your research, and that you are able to structure this knowledge for both written and oral presentation. By that time you should have performed some initial (theoretical and/or experimental) investigations, analysed the results and generated ideas for future work as well. In general, the timescale for part-time students is extended by a factor of 1.5.

The supervisor, together with an independent examiner employed by the University will assess and make recommendations on the outcome of the report and viva voce examination. A favourable recommendation from the examiners may be used as the basis for recommending the PhD confirmation. If the examiners are not satisfied with the major

report, the candidate will be expected to resubmit the report within a prescribed period, normally 3 months. If after that period a satisfactory report has not been produced, the candidate may be recommended to submit for an MPhil degree, or withdraw from the course.

The two most important steps in your PhD programme are the PhD Confirmation process and the submission of your research thesis. Some additional important hints on preparing for these two steps will therefore be discussed separately and in greater detail in Section 7.

The above should be read in conjunction with the Code of Practice for Research Degrees, where the process is more fully detailed. The PhD Confirmation Process is discussed in Section 7.

6.4 Student Seminars

In addition to progress reports, you will be expected to present your work in at least one seminar organised within your Centre or Group.

6.5 Temporary Withdrawal

There may be occasions when you need to temporarily withdraw from your research degree – the University accepts that such situations arise. If you consider that you need time away from your work, please discuss your circumstances with your academic supervisor and arrange for completion of the relevant paperwork (Temporary Withdrawal Request form – Appendix E) for submission to the Postgraduate Research Office. For information on how long you may suspend your studies for please refer to the University Calendar.

6.6 Continuing Status

Students on continuing status are no longer researching their projects and are at the writing up stage of their thesis. They therefore do not require the same level of supervision as other students as they are deemed not to be using University facilities. They are thus able to pay much lower fees. If you wish to be considered as a continuing student then you must speak with your supervisor in the first instance and then complete a copy of the Continuing Status Request form, which can be obtained from the staff in the Faculty Postgraduate Research Office. A copy of the form and the eligibility criteria can be found in Appendix D.

On the recommendation of a Faculty and with the support of the collaborative organisation, the Research Degrees Sub-Committee may permit a collaborative student registered for the Degree of Master of Philosophy or the Degree of Doctor of Philosophy, who has completed his or her research and has embarked upon writing up the thesis, to transfer registration to that of a continuing student earlier than the minimum periods indicated in the University Calendar.

6.7 Extension of Registration

If you feel that you will not be able to submit your thesis before the end of your final year of registration and have an adequate reason for not having been able to complete on time, you will need to make a request to extend your registration. If you do not do this before the end of your registration then once your registration expires you will no longer be registered as a student of the University. Extensions exist for students in genuine difficulties and must not be used simply to compensate for lack of effort.

A copy of the form can be obtained from the Faculty Postgraduate Research Office and a copy can be viewed in Appendix C. In order to complete this form you need to explain your

reasons for being unable to submit within the maximum registration period and set a detailed revised timetable for submission of your thesis within the period of extension for which you are applying. Your supervisor and Head of Centre should then sign the form before returning it to the Faculty Postgraduate Research Office for signature by the Director of the Graduate School. Final approval is at the discretion of the Research Degrees Sub Committee.

7. THE PhD CONFIRMATION PROCESS & PhD THESIS

7.1 PhD Confirmation

All students normally begin by being registered as probationary PhD students. The reason is simple - one begins with a limited commitment prior to discovering whether your particular mix of abilities matches the requirements and skills of a research scientist. Without prior research experience, neither you nor we can make an informed judgement. The PhD Confirmation process normally takes place 13 months into your registration. Primarily it is a mechanism to check your progress and then make an informed judgement, based on the work presented, of the expectation that you will be able to produce work of the appropriate quality for a PhD within an appropriate timescale.

Prior to the confirmation, all probationary PhD students will have reviewed their achievements within the six-month and annual progress reviews, and your supervisor(s) should have indicated their opinion on your rate of progress. Remember that while your supervisor can help you judge your rate of progress; you are the one who has to make the progress. The longer you take to complete, the more likely you will be to run out of funds or suffer financial hardship. It is usually very difficult to get additional support beyond the third year of study.

Prior to, and as part of the confirmation process, you must write a report. The exact form this takes is a matter to be discussed with your supervisor; however it must include the following:

- (i) the aims and objectives of your research project;
- (ii) an overview and assessment of past work in the field;
- (iii) a critical assessment of your own achievements to date;
- (iv) your aims for future work in relation to your PhD, and evidence of a considered time plan for pursuing this future work.

It is important to appreciate that this report is not intended as an early draft of your PhD thesis, although components of it may be developed subsequently. Its purpose is to decide whether we should encourage you to advance towards a PhD. It is easier to assess your achievements and your plans if you keep this concise, and therefore your report should not normally exceed 30 A4 pages in length, with diagrams. In many cases a shorter document may suffice. Once the report is submitted, an oral examination will be arranged conducted by an examiner not associated directly with your project, and your supervisor. This panel will make a recommendation on the confirmation of PhD registration.

The value of this procedure transcends that of assessing research promise and ability. It is a chance for you to practice, on a small scale, the writing of a clear, integrated account of your work. It also gives you practice in the nature of an oral examination. You also have the opportunity of receiving valuable independent advice from the panel members not directly associated with your work. Often, new ideas and lines of enquiry can emerge from the stimulation of such an examination.

7.2 The PhD Thesis

Having successfully achieved the PhD confirmation, the normal expectation is that you will submit a thesis for examination for a PhD after approximately 33-36 months of full-time registration. Parts of your thesis should be written as you go along. The timing of the thesis submission is a key issue that your supervisor will discuss with you. There is much advice on how to write one. Again your supervisor will wish to guide you. Here are just a few obvious points to bear in mind:

- (i) make sure that you write the thesis - preferably complete it before leaving the University. The difficulty of completing the writing up after starting a new job grows exponentially with time;
- (ii) the thesis should be a 'free standing' document. It must be well embedded in the state-of-the-art effort, with references to all the relevant prior work, but it should be possible for someone knowledgeable in the field to read it without regularly consulting the references;
- (iii) a thesis is not an extended essay. It is a specific declaration of what is new that you have uncovered, why and how this new body of knowledge is useful. The thesis examination is often referred to as 'defending the thesis' - this is a good way of approaching the exercise. The thesis should be sufficiently declarative that if challenged it is clear what it is that you have to defend;
- (iv) diagrams should be of high quality and adequate for publication;
- (v) pay attention to spelling and other typographical errors. It is valuable if the thesis is proof read by someone else, and carefully spell-checked on your word-processor.

Finally, the thesis should be as concise as possible. A reasonable page limit is 150 pages, but there is nothing wrong with a thesis of 120 pages. There is never a case for exceeding a total of 250 pages.

There are University regulations to which the thesis must conform. Advice on thesis preparation can be found on the Library web pages.

7.3 Declaration of originality

Students are reminded that the work they submit for assessment must be their own. To this end the following points should be noted:

- (i) All theses submitted for research degrees must carry the following statement of originality signed and dated by the student:

This thesis and the work to which it refers are the results of my own efforts. Any ideas, data, images or text resulting from the work of others (whether published or unpublished) are fully identified as such within the work and attributed to their originator in the text, bibliography or in footnotes. This thesis has not been submitted in whole or in part for any other academic degree or professional qualification. I agree that the University has the right to submit my work to the plagiarism detection service TurnitinUK for originality checks. Whether or not drafts have been so-assessed, the University reserves the right to require an electronic version of the final document (as submitted) for assessment as above.

- (ii) Any chapters that describe the outcomes of joint research must be clearly identified as such with the statement "*This chapter contains the products of joint research between myself and*" inserted as a footnote on the first page. Where significant ideas, data,

images or text result from the input of your joint researchers these should be identified as such and attributed to the persons concerned by means of footnotes within the chapter.

(iii) It is usual to acknowledge the help and guidance of those who have assisted you during your research and the preparation of your thesis. Such acknowledgements for general support will not be held to conflict with your statement of originality, but neither will they replace or obviate the need for individual attribution of significant components of your thesis as in 1 or 2 above.

7.4 Thesis Submission

At least two months prior to submission of the soft bound thesis students must submit an MPhil or PhD Examination Entry form. These can be obtained from the Faculty Postgraduate Research Office. The student must complete part of the form and then pass it to their supervisor(s) who will then discuss the appropriate examiners. Two examiners are required, one of which must be external to the University. The Examination Entry form must then be returned to the Faculty Postgraduate Research Office for the approval and the signature of the Director of the Graduate School. The form will then be passed to the Research Degrees Sub-Committee for authorisation.

Soft bound copies of the thesis are permitted in advance of the viva voce examination. Submission of the thesis requires a minimum of three bound copies of the thesis to be presented. One copy is given to your supervisor, one to the internal examiner and one to the external examiner.

Those copies of the thesis required for the examiners must be submitted to the Faculty Postgraduate Research Office who will log your submission date and pass them to the University Examinations Office who is responsible for the delivery of these to the examiners. Collaborative students may wish to give their collaborative supervisor a copy also.

7.5 Viva-voce Seminar

PhD students are usually required to hold an open seminar during the day or days prior to the viva voce examination. The internal examiner and supervisor are expected to attend and, if available, the external examiner may also wish to attend. All open seminars are normally advertised throughout the Faculty.

7.6 Viva-voce Examination

Your viva should take place a minimum of 30 days and a maximum of 90 days after the submission of your thesis. Arrangements for your viva should be made by your principal supervisor who will liaise with you and your centre administrator. You have the option of inviting your principal supervisor and collaborative supervisor, if applicable, to attend the viva. The viva panel will normally consist of the external and internal examiners, though a Chair may also be in attendance in certain circumstances. Once the viva has taken place the examiners will inform you of the result of the viva as follows:

- (i) that the Degree be awarded;
- (ii) that the Degree be awarded, subject to specified, minor corrections being made to the thesis or portfolio (you are permitted 6 months in which to make the corrections);
- (iii) that the Degree not be awarded, but that the student be permitted to submit a revised thesis within 12 months with a further oral examination;
- (iv) that the Degree not be awarded, but that the student be permitted to submit a revised thesis within 12 months but without a further oral examination;

- (v) that the Degree of Doctor of Philosophy be not awarded but that the Degree of Master of Philosophy be awarded;
- (vi) that the Degree of Doctor of Philosophy be not awarded but that the Degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections have been made to the thesis or portfolio, and if the student submits the thesis for that Degree within 6 months;
- (vii) that the Degree of Doctor of Philosophy be not awarded but the student be permitted to submit a revised thesis, for the Degree of Master of Philosophy within 12 months and with a further oral examination;
- (viii) that the Degree of Doctor of Philosophy be not awarded but the student be permitted to submit a revised thesis, for the Degree of Master of Philosophy within 12 months but without a further oral examination;
- (ix) No award, with no recommendation regarding resubmission of the thesis (normally only applicable following a resubmission).

If you have minor corrections then you will be given 6 months to complete the corrections and hard bind your thesis as per the regulations in the University Calendar. Corrections must be shown to your supervisor and with his agreement the corrected thesis must then be submitted to the internal examiner. If the corrections have been completed to his satisfaction then he will inform you that you can go ahead and hard bind your thesis. He will produce a memo stating that you have completed your corrections and the Faculty Postgraduate Research Office will send this with your thesis to the University Examinations Office.

7.7 Binding

University regulations must be followed when binding the thesis. Binding facilities can be found on campus (Surrey Design and Print). Three copies of your hard bound thesis (collaborative students may wish to provide their collaborative supervisors with a copy also) are required by the University – one for you to give to your supervisor, one for your Centre/Department library and one that MUST be passed to the Faculty Postgraduate Research Office for onward transmission to the University Examinations Office. Please note that the copy that is submitted to the Postgraduate Research Office must include a CD containing an electronic version of the thesis. Once the Research Degrees Sub-Committee and the Research Degrees Committee have awarded you with the MPhil or PhD, this copy of the thesis will be passed to the University Library.

8. LECTURES AND SEMINARS

The research process inevitably requires specialisation in a particular area of expertise. While necessary, this has its down side since much progress in science arises from the bringing together of ideas or methods from different disciplines. To be effective and versatile one has to concentrate, but at the same time avoid tunnel vision.

The remedies are to read around your subject, keep an eye on non-specialist journals, and to go to a range of lectures, research colloquia and seminars. The Faculty supports a large number of advanced undergraduate modules as well as of MSc course modules in many areas of our research. Expert speakers, from industry as well as other research institutions, are regularly invited by the Centres and research groups to give a number of research seminars. Attendance at your Centre seminars is considered a compulsory training activity and you are strongly encouraged to attend seminars in other Centres, thus discovering and,

perhaps, also contributing to the work of your colleagues. The choice of advanced lecture courses within your training programme should be carefully planned and agreed with your supervisor.

Finally, a number of seminars that may be relevant to your work are organised by other Faculties and on a University-wide basis. In addition, various seminars and colloquia are held at the professional institutions, where forefront researchers in your field as well as distinguished speakers tell us all. Again, we hope that you will attend as many of these as possible - to start with only as a member of the audience, but towards the end of your PhD - with a bit of luck and a lot of hard work - as a speaker as well!

9. INTERACTION WITH MSc STUDENTS AND UNDERGRADUATES

All our final year students and most of our MSc students undertake research projects as part of their degree programmes. The former one can think of as being the equivalent of a full-time research student for six to eight weeks, the latter for approximately six months. There are good reasons for devising such projects that are linked with existing research work as closely as possible. The three main reasons are:

- (i) it optimises the use of space, equipment and other resources;
- (ii) it can aid the research project through additional manpower;
- (iii) it enables us to mobilise and make use of your skills.

Obviously, you will not find yourself supervising and being responsible for a student, unless you wish to do so. Nevertheless, it is worthwhile thinking of parts of your own project that could form a suitable theme. The essential requirements are that you must not be in a desperate hurry for the results, that you think the theme is significant - and that you would enjoy the interaction and the experience and training it provides.

10. PATENTS

It is not easy to make money by patenting ideas - but it has happened. In our Faculty, most of our support comes from public funds and there is an obligation upon us to seek to patent ideas that arise on projects supported in that way. The normal route to patent is via the British Technology Group, BTG. They do the work, pay the costs, and market the idea. There is a split of the profits - if any - between BTG and the University and a further split between the University and the inventors. Even if the chances of riches are slender, there is, on the other hand, little pain for us. Moreover, in considering 'publications', patents count and can be given more weight than papers in some disciplines.

The only major disadvantage is that patenting can delay publication. However, when you file a patent application, the BTG are sometimes prepared to obtain a 'Provisional Patent'. This can often be done in a couple of weeks, after which, one can publish. The delay need not therefore be serious.

If there is an idea that you wish to patent, there is some restriction on talking about it before protection has been obtained. On the whole, one need not take that too seriously, as long as one makes it clear that one is seeking to patent the idea being discussed and that the information should be regarded as confidential. Very frequently, people in different laboratories have similar ideas at roughly the same time. The existence of a properly kept, signed and witnessed laboratory notebook is a great help in supporting a claim for priority.

The rules and regulations related to filing patent applications change from time to time. Therefore the above should only be treated only as guidelines. If you wish to proceed with a

patent application, in the first instance you should contact, through your supervisor, the University Patents Officer.

11. KEYS AND SECURITY CARDS

We have to lock up our various workspaces. There are two obvious reasons for doing so. The first is safety. Laboratories and workshops, in general, pose safety hazards of varying degrees. The prevention of casual access is a requirement of the Health and Safety at Work Act. The second is the large financial investment in the equipment in laboratories. We must protect this investment.

A security system for entry to the buildings is in operation, including a door locking system for the academic buildings used by the Faculty, i.e. AA, AB, BA, BB and BC. Access between 8.00 pm and 7.30 am on working days and all weekend is only possible with a suitably enabled University of Surrey campus card.

Application forms for the Card Access and Central Locking System (CACLS) must be completed by all postgraduate students who need to work between 8.00 pm and 7.30 am on working days and any time at weekends and holidays.

You will probably wish to have a key to your work area; these are strictly controlled.

12. EXPENSES

In the course of your work you will at times incur personal expenses. These may arise through purchase of components using petty cash, or through travelling. You should always discuss outlay of personal funds with your supervisor before incurring any expense. In all cases you must keep receipts for any bought items, hotel bills, etc. It is not that there is any lack of trust on our part. It is simply that the University and Faculty financial systems will require receipts (as will the financial system of any other place where you may subsequently work). When travelling in the UK or abroad, it is expected that you will do everything you can to minimise the expense. The reason is obvious enough - we are normally on a tight budget, for travel in particular. Unnecessary expenditure by one researcher may prevent others from going to a conference.

13. TELEPHONE

The telephone is a vital piece of our research equipment that may be used only for work and research related business. Telephones are a major Faculty expense. We would be grateful if you would do everything in your power to minimise this expenditure. All conversations should be kept short.

14. PHOTOCOPIERS

During your studies you will read many research papers and consult many books. You may wish to photocopy items for personal use so that you can have them available for future reference. You may copy items but should make yourself aware of the constraints of copyright law (i.e. you are normally permitted to copy only single items for personal use). There may be temptation to consider photocopying whole books; this is never permissible as it is expensive as well as illegal! It is almost always cheaper to buy an original copy of the book. University Library photocopying cards and arrangements for Centre photocopying are available from centre administrators.

15. EXTERNAL ACTIVITIES

Some of you may undertake other external commitments during your stay at Surrey, as a way of raising additional funds for self-support. Consultancies, laboratory supervision or tutorials fall into that category. Sometimes these activities may become too time consuming and involved, presenting a serious distraction from your research. Thus, they may defeat the object of your PhD research exercise and even lead to failure. You should not under take on any paid employment in addition to your PhD effort that would require more than 6 hrs per week on average (the stated EPSRC limit). The maximum number of hours allowed for laboratory supervision and/or tutoring must not exceed 180 hrs per academic year. Finally, you must inform your supervisor about any external work that you plan to undertake during your period of registration with the Faculty.

16. RESEARCH TRAINING

The Faculty offers an integrated training programme over the three years of a PhD for all research students that covers all of the principal areas that will help you develop your research and prepare you for your future career. This is integrated into the University's Postgraduate Skills Development Programme for all research students and provides a number of skills that will support you while at University and in your subsequent career. Details of the courses are available from the Postgraduate Research Office and on the SPLASH website (www3.surrey.ac.uk/skills/splash). You should discuss these courses with your principal supervisor and agree which you should go on, bearing in mind that satisfying the training component is compulsory for all research students.

17. EPSRC TRAINING

All EPSRC sponsored students are required to attend Research Councils' Graduate Faculty, or an equivalent training programme, during the 2nd or 3rd year of a full-time research programme. This is a five-day residential workshop at which research students develop their team-working and communication skills, and enhance their career development. PhD students who are not EPSRC funded are also encouraged to attend this programme. More information can be found at the following web address: <http://www.vitae.ac.uk>. The Graduate Faculty is free of charge to EPSRC sponsored students.

18. STAFF LEARNING AND DEVELOPMENT PROGRAMME

The Staff Learning and Development Programme is now available online. Research students may be considered for some of these courses if there are places available:

19. INTRODUCTION TO LEARNING & TEACHING FOR POSTGRADUATE STUDENTS WITH TEACHING RESPONSIBILITIES

The Centre for Education and Academic Development provides academic development training for all staff responsible for teaching at the university. This staff development provision includes a programme of training sessions for postgraduate students who are responsible for teaching and assessing undergraduate students. Further details can be obtained from the Centre for Education and Academic Development.

20. ANNUAL AND OTHER LEAVE

20.1 Annual Leave

Students are able to take up to eight weeks annual leave (which includes Bank Holidays and University closure dates) and you will be provided with a form when you start your PhD on which to request leave. All leave (including compassionate leave etc) must be agreed with your principal supervisor in advance. Your centre administrator will retain the forms on your Centre's files. All holiday must be agreed with your principal supervisor and you must ensure that you satisfy all of your commitments with the University, such as demonstrating.

20.2 Sickness / Maternity Leave / Paternity leave

It is essential that all research students keep their supervisors informed of any absence incurred due to sickness. All periods of sick leave must be accompanied by an official medical certificate ***for periods in excess of 7 working days*** and this certification should be sent to the relevant Faculty Postgraduate Research Office via the student's principal supervisor. This documentation must be received within one week of the start of the sick leave while for extended periods; certificates must be submitted periodically to cover the total period of sick leave. If no official certification is available, then the sick leave cannot be taken into account in any respect. Registry requires such documentation in order to ratify any requested periods of temporary suspension. It is the responsibility of the supervisor to ensure that the necessary arrangements are made to facilitate and support the return of the student after prolonged sickness absence, such as a phased return to study and any necessary support. This only applies to students who have taken significant amounts of sickness leave. Only periods in excess of three months of continuous sickness absence will be considered by each Faculty for temporary withdrawal of registration while shorter periods will be taken into account if students subsequently apply for extensions of registration. In addition, the suspension or waiver of fees and any appropriate maintenance grant for the duration of the sick leave will be reviewed by the principal supervisor and, where appropriate, the grant holder, if they are different members of staff, and a recommendation made to the Associate Dean for Research. For students who are funded directly from external sources that they personally have arranged, the Faculty will inform them of the situation and leave the decision to the external body.

20.3 Other Authorised Leave (e.g. Compassionate leave)

Students requesting other leave should apply for such leave ***before*** taking the leave. However, in cases of emergency, such as a close family bereavement, they should inform their principal supervisor who will then inform the Faculty Postgraduate Research Office, of the start and expected end dates and the rationale for taking such leave. The principal supervisor must also inform the Postgraduate Research Office when the student has actually returned and whether there are any special circumstances, such as support or phased return required that they are implementing. The rationale must be a genuine emergency. The Faculty will, on the recommendation of their principal supervisor, decide whether or not to recommend temporary suspension of their registration to the University and whether their maintenance grant will be suspended for students who are in receipt of funding from the

University. In cases where the student is funded by external sources, the Faculty will inform the funding body for them to make their decision.

20.4 Maternity Leave

All maternity must be officially certified for the full duration of the absence and it is the responsibility of the student to keep their principal supervisor informed of the situation. The principal supervisor will keep the Postgraduate Research Office informed of the situation with precise dates on which the student will start their maternity leave and the actual date of return to work. The maternity leave entitlement is up to 12 months and it is important that the actual dates are recorded. When the student goes off on maternity leave their registration will be put into abeyance and will be resurrected when they return. During this period, the registration fees will not be paid and the maintenance grant will be subject to the regulations of the funding body, see below for further details. It is the responsibility of the principal supervisor to arrange for the registration to be put into abeyance and to make the relevant financial adjustments. Supporting paperwork (status change forms) must be submitted to the Postgraduate Research Office should maternity leave and pay be applied for.

20.5 Funding During Leave

Funding here refers to the payment of fees and maintenance grants supporting your research degree studies. For students who are funded directly from sources external to the University, such as those on government scholarships and employer support, the Faculty will inform the funding body of the situation and the decision will be based on their funding regulations. For those students who are funded from research grants held by members of the University, the regulations set out by the EPSRC for Doctoral Training Grants will apply unless there are special conditions in the grant award or contract signed by the University that the funding body require the University to comply with.

N. B. for those research students who also have contracts of employment, the above guidelines only apply to their student registration and not to their employment at the University.

21. EMPLOYMENT

Any form of employment considered by students in full time registration should be discussed with the principal supervisor to ensure that she/he is happy that it will not impinge on the student's research.

22. DATA PROTECTION ACT

All Research projects are subject to the Data Protection Act 1998 and personal data held or processed must be conducted in accordance with the University's registration under the Act. The express authority of the principal supervisor must be obtained for such data to be held or processed. For further details on Data Protection please consult the University Code of Practice for Research Degrees.

23. INTELLECTUAL PROPERTY

While the copyright of a research thesis belongs to the author, a student is required to assign to the University or its nominee any intellectual property rights (whether patentable or otherwise) that the student is considered to have acquired whilst studying at the University. The student, in return, will be eligible to receive a fair proportion of any net receipts in accordance with the terms of the University's Intellectual Property Code. A student may,

however, be subject to a specific agreement with the student's sponsor concerning the assignment of intellectual property rights to the sponsor. Further information on this subject can be found on the University website

24. ETHICS

There is a requirement for students to gain approval from the University's Ethics Committee for research protocols. It is your supervisor's responsibility to ensure that you are aware of the University's Ethical Guidelines for Teaching and Research and that these guidelines are observed. Researchers should note that ethics protocols are reviewed on a continuous basis and there are no deadlines for submission (<http://portal.surrey.ac.uk/registry/ethics>).

25. STUDENT LETTERS AND PERSONAL DETAILS

Throughout the course of your study you may be required to produce a letter confirming your student status. The Postgraduate Records Office in Registry produces letters with regard to council tax exemption or other purposes. If you require a letter please request one by using the online request system on the Registry pages of the website.

Your Faculty Postgraduate Research Officer can produce letters for you when details of your funding are required.

It is your responsibility to ensure that any changes to your personal details, eg. change of address are communicated to the University. You can update your personal details online at www.surrey.ac.uk/studentselfserve.

26. YOUR DEVELOPMENT: Teaching & Being Taught

Alongside your research studies, two additional activities within the Faculty can contribute significantly to your personal development: taking part in teaching as a postgraduate demonstrator and attending educational courses such as specialist short courses organised in the Faculty (see also Section 16) or University Staff Development courses. In addition, many students are eligible to attend the popular, national Graduate Summer Schools, which are organised by the U.K. Research Councils.

26.1 Teaching

There is a very small number of postgraduate research students who are contractually required to take part in teaching activities as part of their specific funding arrangements; there are also some students are not permitted to take any paid employment of this type. However, most students are not obligated to take on a teaching or demonstrating role, but they decide to do some part-time teaching during their research degree. Why is this? Well, for many the pay is certainly an attractive incentive: the University pays set hourly rates that are very competitive relative to other part-time jobs available locally. The hours to be committed to the work are reasonable and well-defined. The work is usually intellectually challenging: it often involves trying to explain a technical topic to less experienced but nonetheless enthusiastic young people. For others, particularly those who are perhaps looking ahead to their next career move, experience in teaching and demonstrating work can help to strengthen your CV.

If you choose to take part in part-time teaching and demonstrating work, you should discuss this with your supervisor(s) to ensure that your plans for paid work will not interfere unduly with your research. The formal arrangements for paid teaching work are organised through the Faculty administration offices, and you should expect to receive official written notification of the work that you have agreed to be contracted to do. There is a limit on the

number of hours that you may work per semester. Work permits are not required for overseas students. There are certain restrictions on what teaching-related activities a research student may do: the University's Code of Practice of Research Degrees discusses these limitations. Payments are made at the end of the semester in which you did the work: you should be notified of the payment *via* an official University pay slip. Contact the Postgraduate Research Office for more detailed information.

26.2 Being Taught

Postgraduate research students are eligible to attend many of the Staff Development Courses that are run by the University. Most of the courses are half-a-day or one day in duration, and cover a sufficiently wide range of topics that at least some will be of interest and relevance to you. Within the Faculty, there are opportunities to attend short courses on specialist technical topics that may be of broad relevance to your research work. Please look out for notices announcing such courses, and discuss with your supervisor(s) whether there are any courses that you may usefully attend. You and your supervisor(s) may decide that it would be helpful for your research studies if you "sat in on" or even formally studied one of the many MSc modules that are run by the Faculty. Further information on your training and development will be given to you when you attend your PhD Training sessions.

Finally - please keep a record of any courses that you attend. You are required to list them on your Annual Review form. This information will be the basis for a discussion of your training needs with your supervisor(s) at your Annual Review meeting.

27. IMPROVING THE SYSTEM

You are joining a large Faculty with very varied research interests and different working practices and research environments. When you have settled into the Faculty and your Research Centre it is perfectly possible that you may consider some processes obscure, ineffective or able to be improved. If so, as already noted in the Introduction, we would value your comments and suggestions through the many channels available for student liaison.

We are all receptive to ideas that could improve how we do things, the quality of our work, or the fun of the research experience. Once again, after discussing the matter with a few colleagues, it is helpful if the idea is put down on paper. It will help us all to think about the matter, and to help you, the originator, to distil and refine your suggestion.

We sincerely hope that your research experience at Surrey will be both enjoyable and productive and that you will feel an integral part of our high quality research community.

28. FURTHER USEFUL INFORMATION

- (i) Postgraduate Prospectus
<http://www.surrey.ac.uk/dynamic/postgraduate.html>
- (ii) General Regulations
<http://portal.surrey.ac.uk/calendar/generalregs/Section%20C.pdf>
- (iii) Code of Practice for Research degrees
<http://portal.surrey.ac.uk/registry/pgoffice/ifrs>
- (iv) European Language Teaching Centre
<http://www.surrey.ac.uk/TLC/>

- (v) International Office
<http://www.surrey.ac.uk/International/>
- (vi) Student Advice & Information Service
<http://www.surrey.ac.uk/SAS/>
- (vii) Complaints and Grievances
<http://portal.surrey.ac.uk/calendar/index.jsp>
- (viii) Academic Appeals
<http://portal.surrey.ac.uk/calendar/index.jsp>

- How often do you discuss your research work with your supervisor(s)? Is it....

Daily	
Weekly	
Monthly	
If none of the above, how many meetings per Semester?	

How would you assess the usefulness of these meetings? What works well and what doesn't work so well? Please be honest, we can't help with issues if we don't know about them.

- How would you rate your own progress during this reporting period (Oct 2010 - Mar 2011)?

Excellent	
Very Good	
Good	
Satisfactory	
Poor	

- When do you expect to complete your thesis?

Section 2: (To be completed and agreed by the Student and Principal Supervisor at the Six-Monthly Review Meeting)

Date of Meeting:

Agreed Outcomes of the Meeting

Please indicate the work and any training that you and your supervisor have agreed for the next six months, taking you up to your Annual Review. Please note any actions required, and highlight any areas of concern or areas that require monitoring.

Please indicate whether a progress report has been sent to the student's sponsor during the last 6 months (if applicable) and the approximate date it was sent:

As supervisor, how would you assess your student's progress?

Excellent	
Very Good	
Good	
Satisfactory	
Poor	

Signed: (Principal Supervisor)..... Date:

Signed: (Co-Supervisor/Collab. Supervisor) Date:

Signed: (Student)..... Date:

PLEASE RETURN YOUR COMPLETED FORM TO THE FACULTY POSTGRADUATE RESEARCH OFFICE (19AA02),

BY 6 May 2011

Confidential Comments – this form is optional. If you wish to raise any issues or concerns with the Director of the Graduate School, please complete this form and send to Janette Redman/Alexia Smith in the Faculty Postgraduate Research Office (19AA02).

Name:

Centre/Department:

Please indicate by ticking the box below if you consent to these comments being discussed with your supervisor(s). Your comments will otherwise be treated in strictest confidence.

Supervisor(s)	
---------------	--

- Have you encountered any significant difficulties with access to staff, facilities, equipment or training that you consider have adversely affected your research progress in this review period?

- Please use the space below if you are you unhappy with any aspect of your research or supervisory arrangements.

APPENDIX B

FACULTY OF ENGINEERING & PHYSICAL SCIENCES

Research Students - Annual Progress Report

Reporting Academic Year: **01/10/10 – 30/09/11**

Name:..... URN:.....

Faculty:..... Department /Centre.....

Principal Supervisor:.....

Co-Supervisor(s):.....

Collaborative Supervisor(s):.....

Current Mode of Study - please circle as appropriate:
Full-time / Part-time / Collaborative / Continuing

Date of Initial registration:.....

Date of MPhil/PhD transfer:.....

Expiry of maximum period of registration:.....

Dates of any temporary withdrawal (if applicable):.....

Date of 12-monthly progress meeting:.....

Date of mid-session progress meeting:.....

Section 1 (to be completed by the student and sent to the Supervisor before the Annual Progress Review meeting takes place):

Research Student's Annual Progress Report

Name of student

URN

- 1 (a) Has your literature review been completed? – Y/N (please circle as appropriate)
- (b) Were there any problems with the literature review – Y/N (if 'YES', please provide details below)

- 2 Please give a **brief** report on your progress against your previous objectives (see notes). If this is your first year please provide details of your achievements since you started.

Notes for Guidance

Question 2 This question asks for a **brief** report on progress. As a guide you should use **700** words as a maximum word limit. The following are suggestions of the type of information you might include:

- Success (or otherwise) in achieving the objectives specified in your previous report;
- Any problems associated with fieldwork or other research (e.g. literature/archival work) undertaken off site;
- Have any or all access permissions been obtained?
- Progress on the collection and/or analysis of data (including problems);
- Problems arising from or modifications to research instruments.

6 **Have you experienced any difficulty with the facilities needed to undertake your research? – Y/N (please circle as appropriate. If yes please provide details below).**

7 **What are your proposed objectives for the next 12 months?**

8 **Please specify below any training, if any, you require? (This will be discussed with your Principal Supervisor at the Progress Meeting).**

- 9 You may use the space below to provide any further information you wish, including comments on the supervision you have received.

Please sign the form in the presence of your supervisor at the Annual Progress Meeting

Signed

Date.....

Research Student's Annual Progress Report

Section 2 (To be completed by the Principal Supervisor and sent to the student before the Annual Progress Review meeting takes place)

Name of student.....

URN

THIS WILL BE SHOWN TO THE STUDENT AND DISCUSSED IN THE ANNUAL PROGRESS REVIEW MEETING

Please provide an assessment of the student’s progress over the past 12 months (or since initial registration, if this is the first annual report).

What do you see as objectives for the next 12 months?

I have shown this Section to all Co-/Collaborative Supervisors and have consulted them in compiling these comments (please delete if not applicable).

Progress is satisfactory/unsatisfactory (please delete as applicable)

Please sign the form in the presence of the student at the Annual Progress Review Meeting

Signed

Date

Research Student’s Annual Progress Report

Section 3 (To be completed by the Principal Supervisor at the Annual Progress Review Meeting)

Name of student..... URN.....

Date of meeting

Outcomes of the meeting:

I confirm that the reports used at the meeting are the reports issued prior to the meeting.

Initials Student

Initials Supervisor

Signed (Principal Supervisor)..... Date

Signed (Co-Supervisor (s))..... Date

Signed (Collaborative)..... Date

Signed (Student) Date

Section 4 This section should be completed by your Research Centre Head or Nominee (see below):

- | | |
|----------------------|----------------------|
| ATI EE & ATI Physics | Prof Ravi Silva |
| CCE | Dr Mike Mulheron |
| CCSR | Prof Rahim Tafazolli |
| CVSSP | Prof Josef Kittler |
| Computing | Prof Tony Ho |
| Maths | Prof Mark Roberts |
| MMA | Prof John Watts |
| Physics CNRP/SMI | Dr James Adams |
| SSC | Dr Craig Underwood |

Name of student

URN

I have read the above report and (please tick one of the following)

	The student's progress is satisfactory
	The student's progress gives cause for concern. Feedback has been given to the student and actions have been agreed. Referred to Director of Graduate School? Yes/No (circle as appropriate)
	Other (please specify below:)

Signed

Position

Name

Date.....

Comments: Director of Graduate School

--

APPENDIX C

REQUEST FOR THE EXTENSION OF REGISTRATION

Surname:	Start Date:
First Name:	Member of Staff: Yes/No*
URN:	Date of Change to Continuing Status (if appropriate):
Faculty:	Degree registered for: MPhil*/PhD*/EngD*/PsychD*/MD*/DClinPrac*/DBA*/Other*
Department:	
Name of Supervisors:	
Original Registration Status: Full-time*/Part-time*/Collaborative*	* delete as applicable

State any previous periods of extensions:

Period of extension: From...../...../..... To/...../..... From...../...../..... To/...../.....

Justification of the request for an extension beyond the normal registration period (please provide corroborating evidence where appropriate)

Please indicate support for or concerns about this request for extension (to be completed by Faculty)

Timetable for (i) completion of research, and (ii) the writing of the thesis, with completion dates for each chapter

CHAPTER	COMPLETION DATE

Proposed date for submission of the completed thesis/portfolio (DD/MM/YYYY) / /

Signature of Student..... *Date*.....

Signature of Supervisor..... *Date*.....

Signature of Head of Centre/Dept/Division (if applicable)..... *Date*.....

I confirm that I support this request for extension of registration as detailed above:

Signature of Authorised Faculty Signatory *Date*.....

APPENDIX D

APPLICATION TO REGISTER AS A CONTINUING POSTGRADUATE RESEARCH STUDENT

This form should be completed by the student and by the Dean of Faculty (or his/her nominee, normally the Centre Head) and returned to the Student Records and Data Office, Registry. Please be aware that in terms of fee liability, continuing status is effective from start dates of the quarters January/April/July/October of any academic year. If you apply to transfer to continuing status on any date other than the first of these months, your status will not change until the 1st of the following quarter from which you apply. Continuing students may still demonstrate and attract demonstrator payments.

Name Faculty & Department

URN Date of First Registration

Qualification Registered For

Current Registration Status: (circle as appropriate): Full-time Part-time Collaborative

Proposed Date of Transfer to Continuing Status

Contact Address during writing-up

Expected Date of Submission of Completed Thesis/Portfolio

Please give a brief timetable for the completion of your studies

_____	_____
_____	_____
_____	_____

Declaration by Student
I have read the conditions overleaf and I apply to register as a Continuing Student as defined therein

Signed Date

Confirmation by Faculty
I confirm that the applicant has satisfied the conditions for registration as a Continuing Student and I approve the transfer to Continuing status from the date shown.

Signed Supervisor Date

Signed Head of Centre Date.....

Signed Dean of Faculty or Nominee Date

DEFINITION OF A CONTINUING POSTGRADUATE RESEARCH STUDENT

A student registered for a Research Degree on a full-time, part-time or collaborative basis may apply to register as a 'continuing' student provided that:

- i) s/he has completed the required minimum period of registration (for the purpose of being eligible to transfer to continuing status - see table below) as prescribed in the relevant General Regulations;
- ii) the transfer is approved by both the principal supervisor and Head of Faculty's representative;
- iii) the student is making use only of the University's general facilities and is no longer deemed to be using facilities of the Faculty such as laboratories or other specialist facilities such as University computing equipment; and
- iv) in the case of a student who was registered on a full-time basis, the student is no longer in full-time attendance.

NB: Limited supervisory contact with the continuing student will be provided, connected to advice about writing up and thesis submission and a general level of contact should be agreed on an individual basis prior to transfer to continuing status. Students requiring more than this level of support should apply to re-register as part-time students.

MINIMUM PERIODS OF REGISTRATION

(For the purpose of being eligible to transfer to Continuing Status)

MPhil	24 months	-	full-time & collaborative*
	36 months	-	part-time & collaborative**
PhD	36 months	-	full-time & collaborative*
	48 months	-	part-time & collaborative**
PhD (direct registration)			
	24 months	-	full-time & collaborative*
	36 months	-	part-time & collaborative**
DBA	24 months	-	full-time
	48 months	-	part-time / distance learning
DClinPrac	48 months	-	part-time
EngD	45 months	-	full-time
EdD	48 months	-	part-time
MD	24 months	-	part-time
PsychD	36 months	-	full-time
PsychD (Conversion)	12 months	-	full-time
	24 months	-	part-time

* collaborative students first registered prior to October 2001

** collaborative students first registered October 2001 onwards

APPENDIX E

REQUEST FOR THE TEMPORARY WITHDRAWAL FROM REGISTRATION

Surname:	Start Date:
First Name:	Member of Staff: Yes/No*
URN:	Date of Change to Continuing Status (if appropriate):
Faculty:	Degree registered for: MPhil*/PhD*/EngD*/
Department:	PsychD*/MD*/DClinPrac*/DBA*/Other*
Name of Supervisors:	
Original Registration Status: Full-time*/Part-time*/Collaborative*	* delete as applicable

Period of the Temporary Withdrawal Requested

From (dd/mm/yyyy) to (dd/mm/yyyy)

Details of changes of registration since first registered (e.g. FT to PT, FT to temporary withdrawal):

CHANGE	DATE OF CHANGE	CHANGE	DATE OF CHANGE

Reason for applying for Temporary Withdrawal (please provide corroborating evidence where appropriate)

Signature of Student..... Date.....

Signature of Supervisor..... Date.....

Signature of Head of Centre/Dept/Division (if applicable)..... Date.....

I confirm that I support this request for temporary withdrawal as detailed above:

Signature of Authorised Faculty Signatory Date.....

APPENDIX F

Regulations for the Degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD) and Doctor of Medicine (MD) by Research and Thesis

These Regulations should be read in conjunction with the University's Code of Practice for Research Degrees

- | | |
|--------------|---|
| Admission | <p>1.1(i) An applicant holding a Degree of the University of Surrey, or a Degree of any other University approved for this purpose, or a Degree awarded by the Council for National Academic Awards, may be admitted to a course of study and research leading to the Degree of Doctor of Philosophy with probationary status (with registration subject to confirmation in accordance with Regulation 3.7). The minimum requirement for registration for the degree of Doctor of Philosophy with probationary status will normally be that of an Honours Degree (Second Class, First Division) from a UK university or other qualification deemed by the Senate to be equivalent. An applicant who is not a graduate may be admitted provided that the applicant holds professional or other qualifications deemed appropriate.</p> <p>(ii) An applicant holding a Degree of the University of Surrey, or a Degree of any other University approved for this purpose, or a Degree awarded by the Council for National Academic Awards may be admitted solely to the Master of Philosophy. Should the student subsequently wish to transfer their registration to the Doctor of Philosophy then they would need to apply to register and undertake the confirmation process in accordance with Regulation 3.7.</p> <p>(iii) An applicant who is registered with the General Medical Council (UK) may be admitted to a programme of study and research leading to the Degree of Doctor of Medicine.</p> <p>1.2 An applicant may not be admitted to a programme of study and research leading to the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine unless the applicant has first been accepted by the Dean of the Faculty in which the applicant proposes to study. The admission of an applicant may be subject to conditions specified by the Dean of Faculty.</p> <p>1.3 An applicant will be required to satisfy the Dean of Faculty of his/her ability to understand and communicate in both written and spoken English that is adequate for the purpose of pursuing the programme. This is normally a minimum score of 6.5 in the International English Language Testing System (IELTS) or equivalent. Either before or after the start of the programme the Dean of Faculty may require a student to attend a programme of instruction in English.</p> |
| Registration | <p>1.4 A student for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine must register at the start of the programme of study and research and shall undertake to comply with the Charter, Statutes, Ordinances and Regulations of the University. Registration shall normally be effective from 1 October, 1 January, 1 April or 1 July in any year according to the quarter in which the programme of study and research is started. A student must re-enrol by the beginning of the Autumn semester for each year the programme of study is pursued. The registration of a student who fails to re-enrol by the end of the Autumn semester</p> |

may be deemed to have lapsed. No student is entitled to register or re-enrol unless the prescribed annual fees for the year have been paid.¹

- Mode of Study
- 2.1 A programme of study and research may be pursued:
- (i) on a full-time or part-time basis at the University;
 - (ii) on a full-time or part-time basis in collaboration with industry, a research establishment or other institution having suitable facilities for carrying out research.
- 2.2 A programme of study and research for the degree of PhD must include all of the following:
- (i) Original research leading to a contribution to new knowledge
 - (ii) Sufficient study in discipline-specific matters as to permit a graduate to contribute at the forefront of the relevant profession or research.
 - (iii) Training in elements that allow the student to develop transferable and generic skills
- 2.3 At the completion of the programme of study or research a candidate for the degree shall evidence their acquisition of these skills by means of:
- i) Presentation of a thesis or portfolio that:
 - (a) for the Degree of Master of Philosophy should embody the results of a well designed research programme or consist of an ordered and critical exposition of existing knowledge in a well-defined field;
 - (b) for the Degree of Doctor of Philosophy or Doctor of Medicine should form a distinct contribution to the current knowledge of the subject. The thesis should also show evidence of a systematic study of the subject, originality shown by the exercise of independent critical power, and should be worthy of publication in complete or abridged form.
 - (ii) Successful defence of thesis or portfolio at the *viva voce* examination. The purpose of such an examination shall be to:
 - (a) establish that the work presented arises from the candidate's own efforts;
 - (b) establish that the candidate has an awareness of their broader subject discipline beyond the confines of the thesis – their knowledge being typical of a competent researcher in the discipline;
 - (c) establish that the candidate is capable of exercising independent critical analysis of data presented.
- 2.4 For the degree of Doctor of Philosophy and Doctor of Medicine, the examination shall in addition seek to establish that:

¹ Detailed rules concerning payment of fees are given on page C 5.

		(a) the candidate has developed the ability to formulate investigations into appropriate questions for study
		(b) the candidate is capable of designing a programme of systematic study appropriate to address questions identified as in (a) above.
Study on a Collaborative Basis	2.5	<p>A programme of study and research carried out on a collaborative basis shall be subject to an agreement between the University and the collaborating organisation:</p> <p>(i) that the research is part of the work the student is carrying out at the organisation and that the student will normally be permitted to conduct the research for a substantial part of the student's time for at least the minimum period of registration for the Degree as specified in Regulation 2.7;</p> <p>(ii) that the student will be released from other duties for visits to the University as necessary and also for a period at the end of the research in order to prepare a thesis.</p> <p>The Dean of Faculty may specify the exact terms of the agreement in any individual case. The University reserves the right to cancel the registration of a student if the collaborating organisation concerned is unable to carry out the agreement.</p>
	2.6	A student may pursue the programme of study and research outside the United Kingdom if permitted to do so by the Dean of Faculty.
Minimum Period of Study for MPhil/PhD	2.7	<p>The minimum period of full-time study and research shall be twenty-one months for a student registered for the Degree of Master of Philosophy and thirty-three months for the Degree of Doctor of Philosophy (see also Regulation 4.5). The latter period may be reduced by the Research Degrees Committee to twenty-four months, on the recommendation of the Dean of Faculty for students who have had their registration for the Degree of Doctor of Philosophy confirmed under the provision of Regulation 3.7 (see Code of Practice section 15.4 for Early Submission procedures)</p> <p>The minimum period of part-time study and research shall be thirty-three months for students for the Degree of Master of Philosophy and forty-five months for students for the Degree of Doctor of Philosophy (see also Regulation 4.5). The latter period may be reduced by the Research Degrees Committee to thirty-six months, on the recommendation of the Dean of Faculty if the student has their registration for the Degree of Doctor of Philosophy confirmed under the provision of Regulation 3.7 (see Code of Practice section 15.4 for Early Submission procedures)</p>
Maximum Period of Study for MPhil/PhD	2.8	The maximum period of study and research for a student who has pursued, on a full-time basis, at least the minimum period in accordance with Regulation 2.7, shall be thirty-six months for the Degree of Master of Philosophy and forty-eight months for the Degree of Doctor of Philosophy. The maximum period for a part-time student shall be seventy-two months for the Degree of Master of Philosophy and ninety-six months for the Degree of Doctor of Philosophy.
Period of Study	2.9	The minimum period of study and research for the Degree of Doctor

for the Doctor of Medicine		of Medicine shall be twenty-four months. The maximum period shall be sixty months.
Extension of Time	2.10	A student may apply for an extension of the maximum period of study and research by writing to the Academic Registry having first obtained the approval of the principal supervisor and Dean of Faculty (or authorised signatory). Such an application shall be considered by the Research Degrees Committee after seeking the opinion of the student's supervisor(s) and Dean of Faculty if necessary. The Research Degrees Committee may extend the maximum period of study and research by not more than twelve months at any one time. The registration of a student for whom the maximum period of registration has ended, and for whom no further extension has been granted, shall be deemed to have lapsed and will be terminated.
	2.11	A student pursuing a programme of study and research on a full-time basis may not simultaneously register for another award of the University, or any other University, except that: <ul style="list-style-type: none"> (i) if a student has completed a programme of study for another award but the award has not been made, the student may register provisionally for a period not exceeding three months (ii) exceptionally and subject to approval by the Research Degrees Committee, a student registered at two institutions (the University of Surrey and a collaborative partner) may submit his or her thesis for examination at both institutions. Satisfactory performance at each institution would result in a dual award for the thesis; (iii) students registered for the PhD Psychology programme may also register concurrently for the award of PGCert in Health Practice.
Transfer from Another Institution	2.12	The Research Degrees Committee may permit a student who has started a programme of study and research at another institution to complete it as a registered student of the University of Surrey. The Research Degrees Committee shall specify the minimum and maximum periods of study and research in each case.
Temporary Withdrawal and Suspension of Registration	2.13	A programme of study and research shall be continuously pursued except that a Dean of Faculty may approve temporary suspension of registration for a period not exceeding a total of twelve months, provided the student has not already reached the period of maximum registration specified in Regulation 2.8 and 2.9 and has demonstrated good cause for such a suspension. The Dean of Faculty shall report any such period of approved temporary suspension of registration to the Academic Registrar. In such cases, the student's maximum period of registration shall be extended by the same amount of time.
	2.14	The Research Degrees Committee may, on the recommendation of the Dean of Faculty, approve: <ul style="list-style-type: none"> a. a further period of temporary suspension of registration beyond that already approved by a Dean of Faculty, in accordance with 2.13 above, if the student has not yet reached the end of the maximum period of registration specified in Regulation 2.8 or 2.9; or b. a period of temporary suspension of registration beyond the maximum period of registration, in accordance with the provisions of Regulation 2.8 and 2.9 above.

		In either case, the period of temporary suspension of registration shall not exceed twelve months at any one time and shall extend the student's maximum period of registration by the same amount of time.
	2.15	Temporary suspension of registration shall not normally be permitted in the case of a student registered on a continuing basis under the provisions of Regulation 3.8 but the Research Degrees Committee may grant permission in exceptional circumstances.
Transfer Between Modes of Study	2.16	A student may be permitted by the Dean of Faculty to transfer between full-time, part-time and collaborative registration. The Dean of Faculty shall inform the Academic Registrar of any such transfers. The minimum and maximum periods of registration shall be determined in each case according to the periods in which the student was registered under each mode.
Supervisors	3.1	<p>The Dean of Faculty shall appoint one or more supervisors for each student. In all cases, at least one of the supervisors shall have supervised solely or as a team member at least one research student through to successful completion of a doctoral degree. When a student is supervised by a team there shall be one clearly identified point of contact between the student and the team and between the team and the University. This will normally be the principal supervisor.</p> <p>In the case of a collaborative student at least one other supervisor (i.e., the collaborative supervisor) shall be a member of the collaborating organisation. The Dean of Faculty may appoint a replacement or additional supervisor at any time if necessary or desirable and shall do so if the principal supervisor ceases to hold one of the above appointments of the University.</p> <p>The Dean of Faculty shall inform the Academic Registrar of the name(s) of the supervisor(s) and any changes thereto.</p>
Principal Supervisor	3.2	<p>At least one supervisor, the principal supervisor, shall be a member of the university's staff:</p> <ul style="list-style-type: none"> (i) holding at least a 0.5 fte appointment as Professor, University Director, Reader, Senior Lecturer, Lecturer or Professorial or Senior Research Fellow; or (ii) holding an honorary or joint appointment. <p>The principal supervisor shall be responsible for the overall direction of the student's programme of study towards a University qualification and for the development of the student's related understanding and skills and general progress. He/she shall also normally be responsible for the administration related to the student's programme of study and research.</p>
Reports to Supervisor(s)	3.3	<p>A student shall report on the progress of the research to the supervisor(s) in such manner and at such intervals as the supervisors may determine but at least once every six months.</p> <p>A formal written annual report shall be made to the Dean of Faculty on the anniversary of the student's initial registration.</p> <p>The report shall comprise a section written by the student and a section written by the principal supervisor.</p> <p>The Dean of Faculty shall supply to the Research Degrees Committee on a quarterly basis a complete list of postgraduate</p>

research students, indicating any for whom an annual progress review has not been completed and the reasons why.

Refusal by a student to submit a written annual report may be considered as a reasonable ground for termination of studies by the Research Degrees Committee in accordance with Regulation 3.5.

Attendance at Lectures etc	3.4	The supervisor(s) may require a student to follow a programme of lectures, seminars, colloquia or equivalent educational activities as part of the programme of study and research.
Unsatisfactory Academic Progress	3.5	<p>The Dean of Faculty, in consultation with the supervisor(s) and at least one other member of the Faculty not previously involved with supervising the student, may recommend to the Research Degrees Committee that a student's registration should be terminated if they are dissatisfied with the student's progress, provided that the student has been given at least 3 months' written notice of such dissatisfaction and given the opportunity to remedy the situation prior to making the recommendation to the Research Degrees Committee.</p> <p>Where a Faculty decides after such a review to proceed with a recommendation for termination of registration to the Research Degrees Committee, the Dean of Faculty shall make such a recommendation in writing and may not delegate this authority (except where he/she is also a supervisor of the student).</p> <p>The Research Degrees Committee may terminate the student's programme, provided that at least fourteen days before the meeting at which the recommendation is to be considered, the student has been informed of the recommendation and invited to state reasons in writing at least four days prior to the meeting why the programme should not be terminated.²</p>
General Exclusion		A student may be excluded from the University for other than academic reasons in accordance with the provisions of Statutes 5(5)(B) and 26.
Fitness to Practise	3.6	<p>A student registered for a programme of study which includes one or more period(s) of clinical and/or professional experience is required, at all times and as a condition of continued registration for that programme, to act or behave in a manner which:</p> <ol style="list-style-type: none">conforms to the relevant professional code of practice, if any; and/oris consistent with behaviour required by the profession or employer; and/ordoes not jeopardise or put at risk the welfare or well-being of others (e.g., patient, pupil, client, members of the public, fellow student, fellow employee, member of academic or professional/clinical staff) or him / herself. <p>The University reserves unconditionally the right to exclude or withdraw a student from a clinical or professional placement without notice on grounds of unprofessional behaviour, professional misconduct, and/or if it believes that the student's behaviour has the potential to cause harm to others or him / herself.</p> <p>General Regulations Governing Fitness to Practise shall specify the criteria and procedures for dealing with allegations of</p>

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Relevant factual material in support of the case may be appended.

unprofessional behaviour or professional misconduct. The University may suspend or terminate a student's registration in accordance with the General Regulations Governing Fitness to Practise.

Confirmation of
PhD
Registration

- 3.7.1 Unless specified otherwise in the programme handbook, the confirmation review will normally take place twelve months after initial registration for full time students or twenty four months for part time students.
- 3.7.2 A student wishing to confirm his/her registration shall apply through the principal supervisor and shall be required to submit to a Progress Confirmation committee a report of the work to date and future plans as specified by the Faculty.
- The principal supervisor shall arrange a meeting to consider the application. The meeting shall involve: the student; with at least one supervisor; together with one other member of the Faculty who is independent of the candidate's research programme and, if applicable, an external assessor with knowledge of the field but independent of the candidate's research programme. The meeting shall be conducted as specified in the Code of Practice for Research Degrees.
- 3.7.3 Following the meeting, and in consultation with the supervisor(s), the Dean of Faculty shall recommend to the Research Degrees Committee:
- (i) that the student be permitted to continue registration on the Degree of Doctor of Philosophy or
 - (ii) that the student's PhD registration should not be confirmed but that the student wishing to continue on the programme will be required to re-apply for confirmation of registration on a single occasion only, normally three months later (as in 3.7.4 and 3.7.5). The examiner(s) will supply the candidate with a written statement within 5 days after the meeting of the action to be taken in order to satisfy the criteria for confirmation of PhD registration.

The Dean of Faculty may require other evidence of fitness to continue before making the recommendation.

- 3.7.4 Where a student has not made sufficient progress in the first confirmation meeting (as in 3.7.3 above) they shall follow the procedures in 3.7.2 above in respect of the second confirmation meeting.
- 3.7.5 Following the second meeting, and in consultation with the supervisor(s), the Dean of Faculty shall recommend to the Research Degrees Committee:
- (i) that the student be permitted to continue registration on the Degree of Doctor of Philosophy or
 - (ii) that the student should be registered for the Degree of Master of Philosophy or
 - (iii) that the student's registration be terminated

The Dean of Faculty may require other evidence of fitness to continue before making either recommendation (i) or (ii) in section 3.7.5 following the second attempt to confirm registration.

Continuing
Status

- 3.8 A student may apply to register as a 'continuing student' while completing the thesis or portfolio. Continuing status may be granted

provided that:

- (i) a student has completed a minimum period of research and study as follows:

MPhil	24 months [full-time]
	36 months [part-time/collaborative]
PhD	36 months [full-time]
	48 months [part-time/collaborative]
MD	24 months [part-time/collaborative]
- (ii) the transfer is approved by both the principal supervisor and Dean of Faculty;
- (iii) the student is making use only of the University's general facilities; is no longer deemed to be using facilities of the Faculty such as laboratories or other specialist facilities such as University computing equipment and is receiving advice solely related to the writing up of his/her thesis
- (iv) In the case of a student who was registered on a full-time basis, the student is no longer in full-time attendance.

On the recommendation of a Faculty and with the support of the collaborative organisation, the Research Degrees Committee may permit a collaborative student registered for the Degree of Master of Philosophy or the Degree of Doctor of Philosophy, who has completed his or her research and has embarked upon writing up the thesis, to transfer registration to that of a continuing student earlier than the minimum periods indicated in 3.8(i).

Thesis or Portfolio	4.1	A student shall present a thesis or portfolio ³ as described in 2.3
References to Work of Others and Previous Work		A student shall indicate by means of explicit references the citation of the work of others or work by the student which is not part of the submission for the Degree. Work submitted for another Degree may not comprise part of the submission for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine.
Joint or Group Project	4.2	A student who has submitted work forming part of a joint or group research project, shall be required to satisfy the examiners that the student's share of the work is sufficient to justify the award of the Degree. In such cases the thesis must contain an introductory note stating the student's own claims to his or her contributions. A copy of such a note should be countersigned by the co-researchers.
	4.3	A student registered for an MPhil or PhD award in the field of Performing Arts may submit, in lieu of a thesis, a portfolio of original works that the student has undertaken while registered for the Degree. The portfolio shall include notes on each item within it and either an extended analysis of one item or a dissertation on a related theme. A student registered for an MPhil or PhD award in the field of Modern Languages may submit, in lieu of a thesis, a translation of

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For the purposes of these Regulations the term "thesis" hereafter shall be taken to imply also "portfolio" or "translation and dissertation", as appropriate.

an academically significant work. The translation shall be accompanied by a dissertation placing the student's work in relation to research in translation theory and critically analysing the intellectual importance and the translation difficulties of the work.

In either case, the proposed work in lieu of a thesis shall be subject to the approval of the Dean of Faculty. Regulations 4.7 to 4.9 shall apply where possible.

- 4.4 A student shall be required to complete an examination entry form which should be returned to the Academic Registry, through the Dean of Faculty, not earlier than six months nor later than two months before the thesis is presented; the proposed title of the thesis shall be entered on the form. The title of the thesis must be approved by the Dean of Faculty. No change whatever in the approved title may be made except with the consent of the Dean of Faculty.
- Time Limits 4.5 The thesis shall be submitted not earlier than the end of the minimum period of research or later than the end of the student's period of registration. In exceptional circumstances, the Research Degrees Committee may permit the student to submit the thesis at an earlier date (see Code of Practice section 15.4 for Early Submission procedures)
- Format of Thesis 4.6 The thesis shall be temporarily bound before it is examined. One copy per examiner shall be submitted to the Faculty for distribution and, if required, a copy shall be submitted for use by the supervisor. Where appropriate, a copy of the thesis may also be required by a collaborating organisation.
- 4.7 The thesis shall be typed on A4 sized paper. All pages should be numbered. The title page shall bear the approved title, and student's name, the Degree for which the student is registered and the year in which the thesis is presented. A summary of the work, not exceeding 300 words in length and a signed Statement of Originality (see 8.2 of the *Code of Practice for Research Degrees*) must be included in each copy following the title page. Whenever possible, subsidiary papers and other material should form part of the thesis, but a student is at liberty to submit such material separately for consideration by the examiners.
- See also Preparation and Presentation of Theses and Dissertations: <http://www.surrey.ac.uk/library/subject/theses/#layout>
- The thesis shall be written in English except when the Research Degrees Committee has given permission for another language to be used owing to the nature of the subject. The summary should always be written in English.
- 4.8 Following recommendation by the examiners that an award be made, at least one copy of the thesis, and any additional copies as deemed necessary, shall be submitted to the Faculty. One copy of the thesis of a successful student will be retained in the University Library and the others by the Faculty(s) and, where appropriate, by the collaborating organisation concerned. A student is advised to keep an additional copy for personal use.
- The thesis shall be permanently bound. The binding shall be in blue cloth and hard-backed. The Degree, the year, and the student's name shall appear on the spine. The thesis will adhere to the format in accordance with 4.7. A digital copy of the final thesis shall also be submitted.

	4.9	No alterations or additions may be made to a thesis after it has been submitted except with the agreement of the examiners in accordance with Regulation 5.6.
Examiners	5.1	<p>The examination shall be conducted by at least two examiners, at least one of whom must be external to the University.</p> <p>Normally, there should be one internal and one external examiner. The internal examiner will have the dual role of examining and chairing⁴ the viva voce examination unless an independent chair is appointed under the provisions of regulation 5.2 below.</p> <p>The examiners must have expertise in examining at the appropriate level so that they are familiar with the standards expected and the achievement likely to be attained. The appointed examiners should, between them, normally have examined a minimum of six candidates at the appropriate level; an external examiner must have experience of at least one relevant examination. Where an external examiner does not have the experience necessary, an additional external examiner shall be appointed who may not hold such specialist knowledge but who could supply the necessary examination experience. This does not remove the requirement for an experienced internal examiner unless an independent chair has also been appointed and the arrangements are approved by the Research Degrees Committee.</p> <p>An external examiner shall not have held any appointment of the University, other than that of external examiner, during the period in which the student had been registered for the Degree, nor had any supervisory relationship with the student.</p>
Selection and Appointment of Examiners	5.2	<p>The examiners shall be appointed by the Research Degrees Committee on the recommendation of the Dean of the Faculty. The examiners will not have had any prior formal involvement with the project or have acted as supervisor of the student.</p> <p>Internal examiners shall normally have expertise in the area relevant to the student's field of research and be demonstrably research active, hold permanent appointments as Lecturer, Senior Lecturer, Reader, Professor, University Director, Professorial or Senior Research Fellow with the Faculty (honorary or joint appointees and retired staff members may also be eligible for appointment).</p> <p>All new Internal Examiners will have undergone appropriate training in examination and in chairing vivas prior to appointment.</p> <p>Nominations shall be submitted to the Academic Registry not earlier than six months and not later than two months before the thesis is presented.</p>
Independent Chairs		<p>Independent Chairs will be appointed by the Research Degrees Committee in the following circumstances:</p> <ul style="list-style-type: none"> (i) where a student is being re-assessed upon appeal (ii) in cases where two external examiners are required including:

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In this role the internal examiner will be responsible for ensuring the proper and fair conduct of the meeting, including conformity with General Regulations and Code of Practice. They will sign the final joint examination report to confirm that the examination took place according to the regulations, resulting in one of the permitted outcomes by the regulations. See also Code of Practice section 16.3

- a. where the candidate is a member of the staff of the university⁵
 - b. where the university is unable to provide an internal examiner with the appropriate subject matter expertise and a second external examiner is appointed⁶
 - c. where two external examiners are required due to lack of examining experience of the preferred subject matter expert (as allowed under regulation 5.1) and the nominated internal examiner has experience of less than 6 examinations or has no prior experience of chairing a viva
- (iii) in any other special case as determined by the Research Degrees Committee

The independent Chair will be internal to the University.

The Chair will be appointed by the Research Degrees Committee on the recommendation of the Dean of the Faculty. The Chair will not have had any prior formal involvement with the project or have acted as supervisor of the student.

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| Examiners' Reports | 5.3 | Each examiner shall submit via the student's Faculty an independent report on the content and style of the thesis prior to the <i>viva voce</i> examination. |
| Viva Voce Examination | 5.4 | The <i>viva voce</i> examination should normally be held not less than 30 days and not more than 90 days after submission of the thesis. Only with the approval of the Research Degrees Committee and with the written agreement of both the examiners and the candidate, the <i>viva voce</i> examination may exceptionally be held after 20 days from the date of submission. |
| | 5.5 | The <i>viva voce</i> examination shall be conducted in the presence of the examiners at the University in Guildford. Exceptionally, and subject to the approval of the relevant Dean, the examination may be arranged at another venue, provided all parties, including the student, agree. Exceptionally, and subject to the approval of the Chair of the Research Degrees Committee, the <i>viva voce</i> examination may take place via video-conference provided that the student is accompanied by at least one of the examiners. |

The student's supervisor(s) may and would ordinarily expect to be present at the *viva voce* examination. The student may request in writing to the Dean of Faculty at the time of the thesis submission that the supervisor(s) be present or not be present at the *viva voce* examination. Reasons need not be given. If the supervisor(s) are present, they may only take part or comment at the invitation of the chair. If the supervisor(s) are not present, the examiners may, in consultation with and through the chair, seek answers to questions from the supervisor before, during or after the examination.

No persons other than the above shall be present at or otherwise take part in the *viva voce* examination, except that the Dean of Faculty, or Head of Department at the behest of the Dean of Faculty, if not an examiner or supervisor, may be present as an

⁵ This would not normally apply to students on a fixed-term contract where a supervisor/student relationship pertains.
⁶ MD examinations usually fall in this category

observer.

The purpose of the *viva voce* examination is described in regulation 2.3(ii).

Examiners'
Recommendation

5.6 After the examination, the examiners shall report on the *viva voce* examination, together with any reports that may have been submitted by the supervisor(s) in response to a request by the examiners in accordance with Regulation 5.5. They shall preferably present a joint report but are at liberty to present separate ones if they so wish.

They shall jointly make one of the following recommendations, as appropriate:

- (i) that the Degree be awarded;
- (ii) that the Degree be awarded, subject to specified, minor corrections⁷ and/or additions⁸ being made to the thesis or portfolio to the satisfaction of the Internal Examiner within a period not exceeding six months;
- (iii) that the Degree not be awarded, but that the student be permitted to submit a revised thesis, by a specified date, normally twelve months, with or without further research, and be examined with or without a further *viva voce* examination [the examiners may, however, recommend (iv) or (v) as an alternative to (iii)];
- (iv) that for those students registered for the PhD or MD, that Degree not be awarded but that the Degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections and/or additions have been made to the thesis or portfolio, and if the student submits the thesis for that Degree within six months or as otherwise agreed by the Research Degrees Committee
- (v) that for those students registered for the PhD or MD, that Degree not be awarded but the student be permitted to submit a revised thesis, for the degree of Master of Philosophy, by a specified date, (normally twelve months), with or without further research, and be examined with or without a further *viva voce* examination
- (vi) that the Degree not be awarded and with no recommendation regarding a re-submission of the thesis (normally only applicable following a re-submission)

If specified minor corrections are required in a thesis or portfolio, the Internal Examiner shall inform the student of the nature of the corrections, within 20 days of the *viva*, in the form of a written list, a copy of which will be appended to the Examination Entry Form⁹. Any corrections required in a thesis shall be completed within six months of the *viva voce* examination unless the Research Degrees Committee allows a longer time. The thesis shall be permanently bound within the same time limit if it was not so bound when examined. The Internal Examiner shall, within 30 days of

⁷ The phrase "specified, minor corrections" shall be taken to include the correction of minor corrections, minor errors of fact, typography, grammar, style, syntax and/or layout of graphs/tables etc., which would enhance the readers' understanding of the author's argument but which does not alter the intellectual content and reasoning of the thesis.

⁸ "Minor additions" are those which do not involve further supervision or any further original research. Such additions might include, for example, additional sentences, tables, paragraphs or pages but not normally additional chapters.

⁹ The examiners may indicate in general terms a need to correct grammar and/or spelling, and, in addition, may return to the student an annotated copy of the thesis or portfolio.

completion by the student, certify that any specified, minor corrections have been carried out satisfactorily and included in the bound thesis or portfolio.

In the case of any resubmission, the student may be liable for additional composition and/or re-examination fees.

- 5.7 The recommendation of the examiners shall be considered by the Research Degrees Committee. If a recommendation that the Degree be not awarded is approved, the student's programme shall be terminated.
- Submission of Revised Thesis 5.8 A student shall be informed in writing within 20 days after the *viva* of the reasons for the examiners' rejection of the original thesis, normally by being sent by the Academic Registrar (or nominee) a Statement of Requirements prepared by the examiners listing the principal aspects of the thesis which require improvement, a copy of which will be appended to the Examination Entry Form.
- A student may submit a revised thesis once only, on the recommendation of the examiners and with the approval of the Research Degrees Committee. The Examiners shall determine the date by which the revised thesis shall be submitted, normally twelve months after the original *viva voce*. If the thesis is not submitted by the specified date the student's registration may be deemed to have lapsed; the Research Degrees Committee may, however, grant an extension of the time permitted.
- The procedure for submitting a revised thesis shall be the same as that for submitting the original one as specified in Regulations 4.4 and 4.6.
- A revised thesis shall normally be examined by both original examiners but the Research Degrees Committee may appoint other examiners. The examiners may not recommend re-submission for a second time but may make one of the recommendations, as appropriate, in accordance with Regulation 5.6 (i), (ii), (iv) or (vi) above and should do so within 90 days of receipt of the revised thesis.
- Disagreement Between Examiners 5.9 If the examiners are unable to agree on a recommendation according to Regulation 5.6, the Research Degrees Committee shall appoint an additional external examiner to review the thesis and the original examiners' reports which will be anonymised. The additional examiner may require the student to undergo another *viva voce* examination. The Research Degrees Committee shall consider the reports of all examiners before reaching a decision.
- 5.10 Matters concerning the examination of a student are confidential to those taking part in the examination and appropriate officers of the University. The contents of the thesis are similarly confidential until the award has been approved by the Research Degrees Committee and the thesis is available for dissemination in accordance with Regulation 6.1 and 6.2.
- Copyright and Access to Dissertations 6.1 Dissemination of knowledge is one of the objects of the University. Copies of theses accepted for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine are placed in the University Library and are available for anyone to consult. A student is therefore advised to mark the thesis as copyright. It shall, however, be a condition of acceptance of a thesis that the University Librarian be empowered to reproduce the thesis by

photocopy or otherwise and to lend copies to those institutions or persons who, in the Librarian's opinion, require them for academic purposes.¹⁰

- 6.2 If the sponsoring organisation or collaborating body considers that the thesis contains matter of a confidential nature, the author may instruct the Librarian to restrict access to a thesis for a period not exceeding five years. Access to the thesis may be allowed during this period only with permission of person(s) specified by the sponsoring organisation or collaborating body. Similarly, if it is desired to seek a patent from matter in the thesis, the author may instruct the Librarian to restrict access for a period not exceeding one year. If it is desired to extend the restriction beyond the above periods, or restrict access on other grounds, application must be made by writing to the University Librarian.
- Intellectual Property 6.3 While the copyright of the thesis belongs to the author, a student is required to assign to the University or its nominee any intellectual property rights (whether patentable or otherwise) that the student is considered to have acquired resulting directly or indirectly from study at the University in return for a fair proportion of any net receipts in accordance with the terms of the University's Intellectual Property Code. A student may, however, be subject to a specific agreement with the student's sponsor concerning the assignment of intellectual property rights to the sponsor.
- Award 7.1 The Degree shall be awarded to a successful student by the Research Degrees Committee. The date of the award shall be the date on which the Research Degrees Committee approves the award.
- Students in Debt 7.2 No student shall be entitled to the award of a Degree unless all fees for tuition and residence and any other sums due to the University have been paid, and the rightful property of the University returned.
- Formal Conferment 7.3 Degrees shall be formally conferred at a Congregation held for the purpose. The Academic Registrar shall publish the names of those who have been awarded Degrees in the University Gazette and may publish them elsewhere.
- Degree Certificate 7.4 After the formal conferment, each graduate shall be given a Degree Certificate. The Certificate shall either be handed to the graduate or sent through the ordinary post to the student's address as listed in the University records. A replacement Certificate can be issued only on receipt of a written request from the graduate and on payment of the appropriate fee.
- Appeals 8.1 The grounds for and procedures for appeals are set out in the University's published [Regulations for Academic Appeals](#). The regulations are available at: <http://portal.surrey.ac.uk/calendar/generalregs/index.jsp>
- Made by Senate: 25 June 1985
- Last Revised: 19 July 2011

¹⁰ A microfilm copy of a PhD thesis may be deposited with the British Library Document Supply Centre who may provide additional copies to other individuals or institutions. If a candidate completes a prescribed form, the British Library will make a payment in respect of copies supplied in certain circumstances.

APPENDIX G

University of Surrey Student Charter

The University of Surrey is a world class, research intensive institution which places a high value on teaching, scholarship, enterprise and innovation. Our core values, shared by students and staff alike, are excellence, collegiality, professionalism and integrity. During your studies here, you will have the opportunity to interact proactively with recognised leaders in scholarship and research. You will also have the opportunity to develop your personal skills and those necessary for the world of work.

University staff in academic and support departments and the Students' Union work very closely together to ensure a high quality learning experience/environment within a supportive and safe community. We place a strong emphasis on mutual respect between staff and students, and our campus provides a warm and friendly learning environment. The University and the Students' Union offer a wide range of extra-curricular opportunities for students as well as support and guidance as and when required. You will be encouraged to provide feedback on all aspects of your academic and non-academic experiences either individually or via elected student representatives.

The University undertakes to provide:

- High quality staff, teaching and research support; academic advice and guidance; a Personal Tutor or Research Supervisor for each student;
- A high quality, relevant and ever improving academic experience for all students;
- High quality library, IT, laboratory and teaching facilities;
- Access to a wide range of activities that will enhance personal development and employability;
- A range of services ensuring students feel supported when necessary;
- Regular opportunities for students to feedback and a proactive approach towards enhancing the student experience;
- A safe working environment.

You undertake to:

- Do your very best; to strive to succeed and to fully engage in a positive way with all aspects of your studies;
- Take full responsibility for managing your own independent learning and personal development;
- Actively participate in sessions specified for your programme of studies or research and submit all assessed work by stated deadlines;
- Read the student handbook and comply with the general and assessment regulations governing your studies or research programme;
- Give constructive feedback on your University experience at all levels;
- Regularly check and respond, in a timely manner, to University emails, letters and other communications from staff and student representatives;
- Make appropriate use of the student union provision for student representation on formal decision making bodies and the staff/student committees of your faculty;
- Treat fellow students, staff and your environment with respect; in the context of the institution's diverse and multicultural community;
- Be aware of responsibilities for the health and safety of yourselves and others;
- Make prompt payment of tuition and all other fees charged by the institution.

The Students' Union undertakes to:

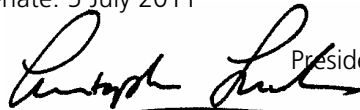
- Offer students a means to feedback to the University and to enable continuous improvement of the services provided;
- Support students to ensure they receive fair treatment, are treated equally and are aware of their rights and responsibilities;
- Assist students with academic and welfare problems;
- Provide a range of sports clubs, societies and other activities to enhance personal development, meet other students and develop hobbies and interests;
- Support students in engaging with the community;
- Represent the interests of all students at local, regional and national level.

The University undertakes to provide all students with the following information:

- Lecture and examination timetables in good time;
- Clear deadlines and timeframes for feedback on submitted work;
- A handbook containing information relating to your programme such as academic regulations, exams, appeals, complaints and late submissions (see also <http://portal.surrey.ac.uk/calendar/index.jsp>)
- Programme tuition fees and payment options;
- Student welfare and support.

Date approved by Senate: 5 July 2011

Vice-Chancellor



President of Students' Union



Our Student Charter gives a summary of our aspirations and expectations for each other at the University of Surrey. It is not, however, a legally binding contract and it is not intended either to define or limit the legal rights and responsibilities of the University of Surrey, the University of Surrey Students Union and each student. All students should ensure that they are aware of all documents published by the University of Surrey and the Students Union which relate in any way to being a registered student and/or a member of the students' union (including the Charter, Statutes and Ordinances and all regulations, policies, procedures, protocols and guidelines issued by the University of Surrey and/or the Students Union from time to time).