

# PPA4. Doctorate Programmes - Supervision, Assessment, Progression and Award Rules

## 1. Award Criteria for the CITY ULE Doctoral Degree Programmes

The award criteria for CITY ULE doctoral degree programmes (and exit and transfer awards) are as set out in section 2 of the PoRD.

## 2. Fees and Scholarships

Fees for PhD degree programmes are subject to the Fees section of the CITY ULE General Regulations.

Tuition fees for PhD programmes are set out on the CITY ULE website.

PhD students who have permission to exceed the normal period of enrolment will pay a continuation fee to remain as candidates for the degree concerned. Continuation fees for Doctoral degree programmes are set out on the ULEX website. Fees are also applicable if a PhD student is required to revise and resubmit their thesis.

CITY ULE offers a number of fee waiver scholarships on an annual basis. Fee waivers are offered to applicants with outstanding academic records on a competitive basis. Fee waivers are normally given for full-time applicants. In exceptional cases, the Doctoral Programme Board, in consultation with the relevant School/Department may award a fee waiver to a part-time applicant.

## 3. Access to Resources, Facilities and Support

CITY ULE will provide its PhD students with access to its library and IT services, suitable desk/workspace, printing and essential IT equipment.

CITY ULE will provide its PhD students with all the necessary specialist facilities to undertake their research.

CITY ULE will provide PhD students with pastoral support and access to all the necessary support services, including disability services.

The University will provide PhD students with remote access to its Library in accordance with the CITY ULE General Regulations. PhD students will not have access to any other University facilities or services.

CITY ULE will provide its PhD students with a handbook.

## 4. Enrolment

PhD students are required to provide CITY ULE with accurate and up-to-date contact details.

New PhD students must complete their enrolment by the enrolment deadline.

Students must provide CITY ULE with current, valid identity documents to evidence their eligibility to study in Greece. Failure to provide ID or present documents for verification as required, will result in CITY ULE withdrawing the student from study.

International students must comply with the conditions of their visa, and with all associated CITY ULE policy. Failure to comply may result in CITY ULE suspending the student from study.

The normal starting month for a PhD programme is September, but in exceptional circumstances other start dates may be considered.

Continuing PhD students need to renew their enrolment at CITY ULE annually by the end of September. Students with unpaid fees or unresolved financial obligations will not be able to renew their enrolment until their accounts have been settled in full.

PhD students are required to use CITY ULE's e-platform in order to:

- Record their training and personal development plan
- Upload progress reports and relevant documents for TAP and progression meetings
- Keep records of official supervisory meetings.

## 5. Supervision

Section 5 of the PoRD serves as a key reference point.

Supervisor appointment is the responsibility of CITY ULE:

- I. Supervisors are appointed by the relevant CITY ULE School/Department.
- II. Each PhD student is supervised by two supervisors, one of whom must be designated as the main supervisor and be the PhD student's first point of contact.
- III. The main supervisor will be from CITY ULE. The co-supervisor can be from CITY ULE or from the University. Additional supervisors can be appointed from industry or from other suitable partners.
- IV. All members of CITY ULE staff with a research profile and a Doctorate can supervise. The main supervisor must, however, have supervised at least one PhD student through to successful completion. If this is not the case, the co-supervisor must be an experienced supervisor.
- V. Supervisors should agree on a supervision plan with their student detailing how co-supervision will work in practice, including how often and by what means the student will meet with their supervisors both formally and informally (as long as the minimum number of formal supervisions is observed). Where there is a University supervisor, they will normally participate in supervision meetings via video-conferencing.
- VI. If the main supervisor becomes temporarily unavailable, the co-supervisor should become the PhD student's main point of contact. In the event of a supervisor becoming unable to continue supervising a PhD student on a permanent or long-term basis, a replacement supervisor should be appointed, after consultation with the PhD student, within one month.
- VII. A PhD student can make a request to their Department/School to change supervisor. PhD students may give a reason for their request or not. Departments should endeavour to fulfil reasonable requests (note that this extends only to the request to change, not the choice of the replacement supervisor). Cases can be referred to the Doctoral Programme Board for arbitration.

Formal supervisory meetings, at which substantial discussion of, and feedback on, research progress and plans and a conversation about development and training needs take place, are vital for ensuring that a PhD project remains on target.

- I. Formal supervision meetings must be held at least every six to seven weeks throughout the year for both full-time and part-time PhD students and more frequently if a Department/School prescribes. This equates to a minimum of eight formal supervision meetings per academic year.
- II. Formal supervisory meetings should normally be held on CITY ULE premises (with any University supervisor joining by video-conferencing).
- III. A record of each formal supervisory meeting should be drawn up by the PhD student, approved by the supervisors, and saved electronically on the e-platform, in order to be accessible to all. The record should include the date of the meeting, a summary of the content of the meeting and future actions to be performed, including agreed training.
- IV. The Department/School is ultimately responsible for ensuring that formal supervisory meetings happen on time and are correctly recorded.
- V. Informal supervisory meetings are at the discretion of the Department/School.

Supervisor training and monitoring is the responsibility of CITY ULE:

- I. CITY ULE will ensure that all supervisors receive initial training in how to supervise before supervising and regular updates.

If a supervisor or supervisee is unhappy with their supervisory relationship they should attempt to resolve the matter informally in the first instance. If a PhD student feels unable to discuss the issue directly with their supervisors, or the issue remains unresolved having done this, then they should raise the matter with the School/Department's Research Director and Head of Department and, in case of still being unresolved, with the PhD programme director, who, if necessary, may refer the issue to the Doctoral Programme Board.

## 6. Responsibilities of Doctoral Students and Supervisor

With respect to the respective responsibilities of students and supervisors, section 6 of the PoRD serves as a key reference point but, where appropriate, references to the University should be substituted with CITY ULE.

## 7. Periods of Enrolment, Changes to PhD Student's Status and Personal Circumstances, Working Hours and Holidays

Section 7 of the PoRD serves as a key reference point.

### 7.1 Duration

- I. Full-time PhD programmes are three years, with up to one year continuation period for contingencies (giving a maximum period of study of four years).
- II. Part-time PhD programmes are six years (0.5 FTE), with up to two years continuation period for contingencies (giving a maximum period of study of eight years).
- III. The continuation period provides a contingency against the research project not going according to plan. PhD students should not normally be undertaking any primary research (e.g. laboratory, archival or field work) during their continuation period and should, instead, be focused on the production of the thesis.
- IV. The minimum period of enrolment is two years and nine months for a full-time PhD student and five years and six months for a part-time PhD student. A PhD student who wishes to

submit a thesis before the end of the minimum period of enrolment may only do so on the recommendation of the Department/School concerned and with the permission of the Doctoral Programme Board.

- V. The final deadline for submission is at the end of the maximum period of study. Failure to submit by the final submission deadline will result in failure of the degree.
- VI. The maximum period between the PhD student's initial enrolment and the submission of the thesis, including any leave of absence or extensions, is normally the maximum period of study plus four years (although this will normally be extended to accommodate parental leave).

## 7.2 Residence and attendance

- I. Full-time PhD students are expected to be physically present at CITY ULE premises on a day-to-day basis. Part-time PhD students must be willing to attend CITY ULE premises to participate in essential research activities (including formal supervisory meetings, TAP meetings, and progression meetings) and relevant training.
- II. Temporary absence from the primary site of research may be permitted for programme related reasons including data collection and placements, in accordance with the time-limits and approval requirements in this Policy.
- III. PhD students are expected to engage with the academic requirements of their programme unless they are: (i) taking annual leave, or (ii) on an approved leave of absence, in accordance with this Policy.

## 7.3 Annual leave

Subject to any further conditions imposed by a funding body/sponsor, the annual leave allocation for full-time PhD students is the same as for full-time staff.

## 7.4 Working hours

- I. Full-time PhD programmes are based on a notional 1,800 working hours per year, which includes time spent on the research project, and time for personal and professional development (this equates to around 40 hours/working week). Actual working hours will vary for a number of reasons including the nature of the research and the timing within the programme but PhD students and supervisors should ensure that working hours are not excessive.
- II. Subject to the approval of their supervisor(s), PhD students on full-time programmes (during designated periods of study i.e. excluding annual leave) may undertake a maximum of twenty hours per week of paid employment (this includes teaching and demonstrating and the associated preparation and marking) and/or voluntary work. This is a maximum figure and may be reduced by conditions imposed by a PhD student's funding body/sponsor

## 7.5 Leave of absence

- I. A leave of absence allows PhD students to take an authorised break in their studies for a documented medical or personal reason.
- II. A PhD student may request a leave of absence on the grounds of maternity, paternity, adoption or shared parental leave.
- III. Any PhD student can apply for a leave of absence, however, approval is not guaranteed.
- IV. Leave of absence will normally be granted for a maximum of one year at a time and a maximum of two years in total (and is neither extended nor prorated for part-time students).

- V. A leave of absence will not normally be considered in a student's first month of enrolment or in the three months prior to the submission deadline.
- VI. If a PhD student wishes to take a leave of absence they must apply in advance for permission to do so; leave of absence that is entirely retrospective will not normally be considered or approved.
- VII. During a leave of absence, students are expected to take a complete break from their studies and should not work on their research or the period of leave of absence may be reduced or rescinded. Students on a leave of absence should not have formal supervisory meetings or TAP meetings and contact with their supervisors should be for pastoral support only.
- VIII. Requests for a leave of absence shorter than one month can be approved internally by the relevant Department/School. Applications should be submitted as soon as possible and not retrospectively.
- IX. Applications for a leave of absence longer than one month should be submitted to the Chair of the Doctoral Programme Board, who should consult with the relevant HoD, the DRD and the PhD Programme Director.
- X. Leave of absence requests and reasons for granting or not granting must be recorded electronically.

## 7.6 Extensions of submission deadline

- I. An extension of submission deadline is required for a student who has not submitted their thesis within the maximum period of study (i.e. the normal period of enrolment plus the permitted continuation period).
- II. CITY ULE expects that Doctoral programmes will be completed within the normal period of enrolment and PhD students, supported by their supervisors and Schools/Departments, must plan their programme in its entirety (i.e. including preparatory work, research and writing of the thesis, any training or other required activities e.g. compulsory placements, plus an allowance for contingencies) based on this expectation.
- III. Extensions of submission deadlines are, therefore, granted only in exceptional circumstances, where a PhD student's work has been significantly adversely impaired by severe (serious and of sufficient duration), unforeseen, and unavoidable issues, normally of a medical or personal nature.
- IV. A request for an extension may be refused where a PhD student was advised to take a Leave of Absence during their programme to deal with an issue, but opted not to do so.
- V. Retrospective requests will not be considered unless there are exceptional, documented circumstances (for example the PhD student was medically incapacitated) that prevented them from requesting an extension at the current time.
- VI. An extension will normally be limited to six months, unless a compelling case is made for a longer period of up to a maximum of one year. The total period of extension that may normally be approved is a maximum of two years.
- VII. An extension request will not normally be considered until the PhD student is within three months of their submission deadline.
- VIII. Applications for an extension should be submitted to the Chair of the Doctoral Programme Board, who should consult with the relevant HoD, the DRD and the PhD Programme Director.
- IX. Extension requests and reasons for granting or not granting must be recorded electronically.

## 8. Progress and Review Arrangements

The CITY ULE PhD programmes are subject to section 8 and Appendix 2 of the PoRD, with adjustments to accommodate the CITY ULE's procedures and structure as set out below.

### 8.1 Thesis Advisory Panels

- I. Each PhD student has a Thesis Advisory Panel (TAP).
- II. The principal purpose of the TAP is to review the progress of a PhD student's research project and their professional development needs, and to supplement, where appropriate, the advice and guidance given to the student by the supervisor(s).
- III. The TAP consists of the supervisors and at least one additional member from CITY ULE. Members of the University can be TAP members and there must be a University TAP member where the co-supervisor is from CITY ULE.
- IV. The TAP is chaired by the non-supervisory member from CITY ULE who must have experience of supervising research degree students.
- V. For full-time PhD students, the TAP will meet with the PhD student at least once within every six-month period (i.e. in months 1-6, 7-12, etc., for a full-time PhD student). For part-time PhD students, the TAP will meet with the PhD student at least once a year.
- VI. The first TAP meeting should take place three months after the PhD student's start date.
- VII. At least one week ahead of a TAP meeting, the PhD student circulates a report describing progress on the project and their professional development.
- VIII. At a TAP meeting, the PhD student will give a brief 10-minute presentation. TAP members discuss with the PhD student the student's plans for the next few months and set goals for the next TAP meeting.
- IX. A record of the TAP meeting outcomes should be drawn up, approved by all parties, and saved electronically on the e-platform, in order to be accessible to all.

### 8.2 Formal reviews of progress

- I. A student is admitted to a PhD programme on the basis of an assessment of their potential at the admissions stage. Remaining on the programme is conditional on making satisfactory progress with respect to their research project and the other elements of their programme.
- II. The purpose of formal reviews of progress is to ensure that PhD students are making satisfactory progress.
- III. Formal reviews of progress are overseen by a progression panel and take place on an annual basis for full-time PhD students (towards the end of the academic year) and on a biennial basis for part-time PhD students. Formal reviews of progress are not required for entry into a continuation period.
- IV. Schools/Departments determine (subject to Doctoral Programme Board approval) what written evidence PhD students should provide to demonstrate that they have met the relevant University progression criteria.
- V. The progression panel should comprise at least two individuals, including one academic from the University, and be independent of the PhD student's supervisor(s). Panel members should have experience of successful PhD supervision and should be from the same or cognate disciplinary areas as the PhD Student. The progression panel should be chaired by a senior academic member of CITY ULE.
- VI. Progression panels are not expected to make detailed judgements about a PhD student's research project, nor to direct the PhD student's future work; rather, they are required to determine if the PhD student meets the relevant University criteria for progression (which are threshold requirements).

- VII. The progression panel should consider the written evidence submitted by the PhD student, and a report from the PhD student's supervisors. The progression panel should also meet with the PhD student and may ask the PhD student to give a presentation.
- VIII. If the progression panel decides that the PhD student has met or exceeded the relevant University progression criteria at the first attempt, they will recommend to the Doctoral Programme Board that the PhD student should progress to the next year of their programme.
- IX. A record of the progression meeting outcomes should be drawn up, approved by all parties, and saved electronically on the e-platform, in order to be accessible to all.
- X. If the progression panel decides that the PhD student has not yet met the relevant progression criteria, the PhD student will be permitted a second attempt at progression within 3 months but the panel may recommend that it would be in their best interests to withdraw or transfer to a lower award. The PhD student will need to let their School/Department know as soon as possible if they wish to accept a recommendation for transfer or withdrawal.
- XI. The second attempt progression meeting should be audio-recorded.
- XII. If a PhD student does not meet the relevant progression criteria at the second attempt, the progression panel will recommend that their enrolment with the CITY ULE is terminated or that they are transferred to a lower award.
- XIII. An extension request will not be considered until the student is within two months of their progression deadline. Any extension will normally be limited to two months. The total period of extension that may normally be approved is a maximum of four months. Any extension to the deadline for a formal review of progress does not alter the timing of the next formal review of progress (if applicable), nor change the period of enrolment, nor alter the deadline for submission of the thesis.

## 9. Development of Research and Other Skills

A PhD induction day is held which is compulsory for all enrolled students.

All PhD students are required to spend approximately 10 days a year (pro rata for part-time PhD students) engaged in activities and training to support their professional and career development. Supervisors must respect this time and discuss and review the activities undertaken during formal supervisory meetings.

Each School/Department will set out its own compulsory and optional training for its PhD students, and will ensure that students receive training to acquire the skills and knowledge necessary for the completion of their research project and for career progression.

A training needs analysis (TNA) will be undertaken by each student at the beginning of their PhD, in cooperation with their supervisors. The TNA will define the training targets that should be met before each formal review of progression and will be updated annually.

CITY ULE will provide its PhD students with access to careers advice and guidance suitable for their needs.

If CITY ULE offers opportunities for PhD students to undertake teaching or demonstrating, this must not be at the expense of their research project (see section 11). PhD students should be fully trained for any role and receive pay in line with the work undertaken.

## 10. Evaluation and Representation

PhD students should be asked to evaluate their experience on a regular basis, including opportunities to provide anonymous feedback.

There should be a PhD student representative on the relevant School/Department and CITY ULE committees that deal with academic and student experience issues.

PhD students will be invited to participate in the Postgraduate Research Experience Survey or other surveys of PhD students via the University.

## 11. Responsible Research and Academic Integrity

The CITY ULE PhD programmes are subject to section 11 of the PoRD, with adjustments to accommodate the CITY ULE's procedures and structure set out below.

CITY ULE will provide all PhD students with training on ethics and integrity in research and research data management.

### 11.1 Research integrity

In line with the UUK Concordat to support research integrity, PhD students and their supervisors are expected to maintain the highest standards of research conduct and to familiarise themselves and act in accordance with the University's policy framework: the Code of practice and principles for good ethical governance, the Code of Practice on Research Integrity and the Research Data Management Policy.

### 11.2 Ethical approval

Any ethical issues relating to a PhD student's research (including any issues relating to the CITY ULE's duty of care to the PhD student) must be identified at the earliest opportunity (ideally before admission) by the supervisor and the PhD student, with reference to the University's Code of practice and principles for good ethical governance, and seeking advice where necessary from the relevant CITY ULE ethics committee.

Where formal ethical approval from the relevant CITY ULE ethics committee and, where necessary, an external body is needed, the supervisor and the PhD student are jointly responsible for securing this before the research commences. Confirmation of ethical approval (where needed) is required for formal reviews of progress and at the point of thesis submission.

Ethical approval cannot be given retrospectively, and any data obtained prior to ethical approval cannot be used. Failing to gain ethical approval when required can lead to investigation for research misconduct.

### 11.3 Data management

All PhD students are expected to work with their supervisors to put in place a data management plan by the first formal review of progress. The data management plan should be updated as required and, where applicable, checked at subsequent progression points. The data management plan should include consideration of how research data is to be treated once the PhD student has completed their programme (e.g. secure disposal or archiving and sharing via an appropriate data repository).

## 11.4 Academic integrity

PhD students must not, by implication or otherwise represent the work of others as their own, represent work done in collaboration with others as their own unaided work, or present work for assessment which suggests that factual information has been collected which has not in fact been collected, or which falsifies factual information. PhD students should pay attention to ensuring that they avoid plagiarism resulting from poor academic practice. All sources, whether published books or articles or unpublished material of any kind, must be explicitly acknowledged, and quotations or close paraphrases correctly attributed.

PhD students are bound by the University's Policy on Transparency of Authorship in PGR Programmes, including generative AI, proofreading and translation.

PhD students should abide by the University guidance on the use of generative AI in PGR programmes.

## 11.5 Misconduct

Allegations of academic misconduct in elements of a programme that are mandated or expected but not formally assessed (eg TAP submissions, internal presentations etc.) may be investigated and dealt with as probationary offences according to the Assessment Misconduct Policy for PGRs (Appendix 3) of the PoRD. Misconduct allegations will be investigated by CITY ULE but the PGR AMIP will include an appropriate member of the University.

Allegations of misconduct by a PhD student in any formal assessment (including but not limited to reviews of progress, the thesis and the oral examination) will be dealt with according to the Assessment Misconduct Policy for PGRs (Appendix 3). Misconduct allegations will be investigated by CITY ULE but the PGR AMIP will include an appropriate member of the University. No decision about the PhD student's progression or the outcome of the examination may be made until an investigation has been concluded.

Allegations of research misconduct by a PhD student (including, but not limited to, ethics approvals, data management and dissemination), even if identified in a formal assessment and whether or not the research is published or otherwise disseminated, will be dealt with according to the University Policy for the Investigation of an Allegation of Research Misconduct. Where there is doubt as to whether the Assessment Misconduct Policy for PGRs or the Policy for the Investigation of an Allegation of Research Misconduct should apply, the latter policy takes precedence. Misconduct allegations will be investigated by CITY ULE but the University will be represented (representation to be agreed with the University's Research Misconduct lead). Where research misconduct is alleged during the assessment process but is investigated under the Policy for the Investigation of Allegation of Research Misconduct, no decision about the PhD student's progression or the outcome of the examination may be made until the investigation has been concluded.

Serious research or academic misconduct can result in termination of enrolment.

## 12. Assessment

The CITY ULE PhD programmes are subject to section 12 of the PoRD and the associated appendices and online guidance, with adjustments to accommodate the CITY ULE's procedures and structure as set out below.

PhD students should note in particular the requirements for all assessment formats.

## 12.1 Format of the thesis

- I. Word limits for theses are prescribed by each CITY ULE School/Department concerned.
- II. The format should follow section 12 of the PoRD and the associated online guidance.
- III. Unless specified otherwise by a School/Department, all PhD students may submit a traditional thesis or a journal-style thesis.

## 12.2 Examiners

- I. The relevant CITY ULE department is responsible for nominating the examiners, following consultation with the supervisors and the relevant University department.
- II. CITY ULE must follow the University's policy in terms of suitable nominations. A candidate's supervisor cannot be appointed as an internal examiner.
- III. Examiners are approved by the University upon CITY ULE's nomination.
- IV. For each candidate, there will be an internal examiner from CITY ULE (or the University), and an external examiner from a university other than the University of York.
- V. The University will provide an independent Chair to oversee the oral examination and ensure that the University procedures are followed.

## 12.3 Organisation of the examination process

- I. The thesis should be submitted to CITY ULE and sent out by CITY ULE to the examiners.
- II. The oral examination should be organised by CITY ULE.
- III. The oral examination should be held in person at CITY ULE but permission may be granted by the Doctoral Programme Board for a hybrid, off-site, or online oral examination subject to appropriate checks.
- IV. Once the oral examination has been completed, the joint report and outcomes report should be approved by the relevant CITY ULE School/Department and CITY ULE Senate.
- V. CITY ULE will ask the PhD student to upload their thesis to the University's electronic repository WREO and this submission will be checked by the University.
- VI. Once the award has been approved by CITY ULE Senate, the full paperwork (preliminary reports, joint report, outcomes report, and CITY ULE Senate confirmation) should be sent to the University.
- VII. When the University has checked the CITY ULE paperwork and the WREO submission, confirmation that the thesis has successfully been uploaded to the University's electronic repository (WREO)
- VIII. The University will issue the award letter to the PhD student.

## 12.4 Examination costs

CITY ULE is responsible for the external examiner fee, examiner expenses and any other direct costs associated with the examination process (including travel costs for the independent Chair).

## 13. Dissemination of Research Results (Open Research, Embargo and Redaction Policy), Intellectual Property Rights and Responsibilities

The CITY ULE PhD programmes are subject to section 13 of the PoRD, with adjustments to accommodate the CITY ULE's procedures and structure as set out below.

### 13.1 Embargo

Embargo requests of more than two years should be considered by the Doctoral Programmes Board, before being recommended to the University for final approval as set out in the PoRD.

## 14. PhD Student Complaints and Appeals

### 14.1 Complaints

PhD students are subject to the Complaints section of the CITY ULE General Regulations.

### 14.2 Appeals

Responsibility for considering or hearing appeals by PhD students has been delegated by the University to the CITY ULE Appeals Committee.

PhD students wishing to exercise their right of appeal against a decision or recommendation (as set out in CITY ULE Regulations for Doctoral Degree Awards) must follow the procedure set out in the Appeals section of the CITY ULE General Regulations.

## 15. Absence from CITY ULE Premises for Programme Purposes

Where a PhD student needs to undertake research away from Thessaloniki (for example for data collection or to consult with reference institutions) the main supervisor retains primary responsibility for maintaining an oversight of the PhD student and their research project. Supervisory meetings, TAP meetings, and progression meetings should continue as normal but may be held by video-conferencing rather than face-to-face. Consideration must be given as to how research training and participation in other academic activities can be facilitated while the PhD student is away.

Approval for undertaking research away from Thessaloniki rests with the School/Department for periods of under three months duration or with the Doctoral Programme Board for periods of over three months duration or where this is indicated by a higher level of risk (e.g. some fieldwork and overseas travel). The period of time that a PhD student may spend undertaking research away from Thessaloniki will normally be no more than twelve months for a full-time PhD.

CITY ULE will ensure that PhD students undertaking research away from Thessaloniki (or other programme-related travel e.g. conference attendance) are covered by appropriate insurance.