

UNIVERSITY OF OXFORD

HUMANITIES DIVISION

Code of Practice on Supervision of Graduate Research Students

2021-22

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Michaelmas Term 2021

A. THE WIDER CONTEXT

1. The Humanities Divisional Code supplements in certain important ways the University's Policy and Guidance on Research Degrees. It sets out the basic expectations governing the responsibilities of supervisors, students, and faculties and departments (<https://academic.admin.ox.ac.uk/research-degrees>);
2. Attention is also drawn to The UK Quality Code which underlies all these documents: <https://www.qaa.ac.uk/quality-code>

B. APPOINTMENT OF SUPERVISORS

1. *The supervisory structure*

- a. Patterns of supervision differ from faculty to faculty within the Humanities Division, to a large extent according to the nature of the subject. In some subjects, there is typically a sole supervisor; others may have two co-supervisors.
- b. Where more than one supervisor is appointed, one of the supervisors will normally be designated the primary supervisor, and the roles of each supervisor should be clearly defined at the outset and redefined as appropriate as the student's research progresses. Arrangements must be clearly communicated to the student.
- c. In all cases, the faculty shall ensure that each student has access to one or more named persons, in addition to the supervisor, to whom they can turn for support, such as the Director of Graduate Studies or, where appropriate, the Chair of the Faculty Board.
- d. Where there is a sole supervisor, these other sources of support, and the provision of cover during the absence of the supervisor referred to at 4 below, are especially crucial.
- e. Faculties shall ensure that a research student is not disadvantaged when a supervisor is absent on research leave or for other reasons. Normally regular contact by email between supervisor and student will suffice during a period of leave of up to one term. If a supervisor is on leave during a student's initial period of study, a co-supervisor must be appointed for the duration of the period of leave. In certain circumstances (e.g. during the initial period of study of a new doctoral students) a suitable co-supervisor may be appointed during the absence of the primary supervisor. A supervisor shall not be granted University research leave unless the faculty is satisfied that suitable arrangements have been made for the supervision of their research students
- f. A candidate should not be admitted if there is no suitable specialist supervision in the collegiate university.

2. *The supervisor – general requirements*

- a. A supervisor shall normally be a permanent member of academic staff of the University. Where the appointed supervisor is not a permanent member of academic staff of the University, the Director of Graduate Studies shall have a supporting supervisory role; in this role, the DGS will satisfy himself/herself at least once every term that the supervision arrangement continues to be adequate for both parties

involved.

- b. In appropriate cases (e.g. where a student's research is multi-disciplinary and specialist supervision is available in one or more but not all disciplines), a supervisor may be appointed who is external to the University of Oxford. A person holding a substantial external research post in the faculty (e.g. a British Academy Fellowship or equivalent on a fixed-term contract) may be appointed to act as a student's primary supervisor. In either of these cases, an experienced permanent member of academic staff of the University shall always be appointed as co-supervisor.
- c. A supervisor should have sufficient security of tenure to make it likely that they will see a student's research through to successful conclusion. Nobody shall be appointed as sole supervisor when it is known at the time of appointment that they will not be in post at the time that the student is due to complete the programme of research. A supervisor who retires and remains research active in the specialist field may continue to supervise a student, and in such cases a current permanent member of academic staff of the University shall be appointed as co-supervisor and, if appropriate, clearly designated as the primary supervisor. A supervisor may elect to continue as co-supervisor after moving to a post outside Oxford, with the approval of the Board of the Faculty.
- d. At least one of a student's supervisors shall have sufficient experience of the supervision (at Oxford or elsewhere) of graduate research students in the relevant discipline(s) to ensure that the direction and monitoring of the student's progress is informed by up to date knowledge of the subject and research developments.
- e. At least one of a student's supervisors shall have sufficient experience of supervising in the University of Oxford to provide appropriate guidance about academic expectations, necessary procedures, resources, training and other essential matters.
- f. A student's supervisor or supervisors shall be able to undertake all the tasks assigned to the supervisor in the Policy on Research Degrees (see para. A,1 above).
- g. A supervisor should be familiar with the [University Conflict of Interest Policy](#) and associated [guidance](#), in particular its requirements relating to research supervision, and to disclose any conflict of interest, or any circumstances that might reasonably give rise to the perception of conflict of interest, in accordance with this Policy.

3. *Training and support for supervisors*

- a. Members of academic staff in their first period of office will be given appropriate support and training:
 - The faculty board shall appoint a mentor who will, amongst other duties, provide confidential advice, guidance, and support on the supervision of research students;
 - The faculty board shall ensure that all academic staff (especially newly-appointed staff) attend the course on supervising DPhil students in the Humanities and Social Sciences organised by the Centre for Learning and Teaching: <https://canvas.ox.ac.uk/enroll/CNXNAB>.
 - All members of staff, and especially new members of staff, are also encouraged to seek advice, guidance, and support on the supervision of research students from the Director of Graduate Studies and Chair of Faculty Board.
 - The supervision record of a new member of academic staff is included in the review prior to

appointment to retiring age. Just as the faculty is responsible for ensuring that a new member of academic staff has access to advice, guidance and support on the supervision of research students, so a new supervisor is responsible for obtaining appropriate training in the supervision of research students.

- b. When a supervisor has no previous experience of supervision, an experienced permanent member of academic staff of the University will always be appointed as co-supervisor and, if appropriate, clearly designated as the primary supervisor. The experienced member will be expected to act as mentor to the new supervisor.
- c. Faculties shall put in place mechanisms to ensure that the quality of supervision is not put at risk as a result of an excessive range and volume of burdens assigned to individual supervisors.
 - A supervisor is expected normally to meet with a research student for a detailed discussion of the student's progress at least twice a term during the period of study. Meetings are likely to take place more frequently during the early stages of a research programme, and to involve reading and commenting upon substantial amounts of written work during the latter stages. A supervisor must therefore be able to provide at least this typical level of support for each research student.
 - To this end, the Humanities Division has agreed that no individual carrying a normal administrative load and a normal burden of undergraduate and/or postgraduate teaching for their faculty should supervise more than six research students; individuals who undertake less administration and/or less teaching may supervise more research students, up to a maximum of twelve.
 - Exceptions should only be made after consideration by and with the approval of a faculty's graduate studies committee.

4. *Change of supervisor*

- a. Where a student believes that there are good grounds for contemplating a change of supervisor, for whatever reason, this should first be discussed with the supervisor or, should the student prefer, with the Director of Graduate Studies or the Chair of Faculty Board (or their deputies) or with their College Adviser (see Policy on Research Degrees, 4.1)
- b. Should a student's research change direction so that their current supervisor may no longer be the most appropriate person to provide guidance, the faculty, in consultation with the student and the supervisor, shall consider whether or not an additional or alternative supervisor should be appointed. Such a change of focus is unusual, and always requires prior permission from the faculty.
- c. Should the student have concerns over the quality of supervision, they should seek to resolve the matter where possible by discussion with the supervisor, Director of Graduate Studies, Chair of Faculty Board, or College Adviser, but should be made aware of the University's formal complaint procedures, as described in the [Student Handbook](#) and the relevant regulations of Council.
- d. Should it be decided that a change of supervisor is desirable, and should no alternative specialist supervisor be available within the collegiate university, a specialist supervisor outside Oxford may be appointed and an experienced permanent member of academic staff of the University appointed as co-supervisor (see para. B, 2, b, above).

5. *College Advisers*

- a. All students should also be able to approach a college adviser. The student's college will appoint an adviser, and will receive termly supervision reports, and reports on transfer and confirmation of status. Most colleges also have procedures to monitor the overall well-being of graduate research students, including discussion of academic progress and supervision reports.
- b. If a college identifies any concerns that might impact upon the academic progress of a student, and that may not already have been recognised in supervision reports, it may refer these in confidence to the Director of Graduate Studies in the faculty concerned, who will initiate such action as seems necessary.

C. THE SUPERVISOR'S RESPONSIBILITIES TOWARDS THE STUDENT

1. *Preparation and induction*

The supervisor's responsibilities are as follows:

- a. To ensure that the student attends all faculty and/or departmental induction sessions.
- b. To hold an initial meeting with the student in 0th or 1st Week of the first term in order to establish a clear framework for the student's research. The supervisor should (at least):
 - Agree with the student upon a clear plan for beginning research and give accurate reference to appropriate reading, sources, other research materials, etc.;
 - Agree a programme of work for the term with the student, making clear expectations and timetable, including identification of milestones;
 - Establish the frequency and dates of meetings to discuss in detail the student's research;
 - Make sure that the student understands the procedures for monitoring progress and performance;
 - Encourage the student to attend any appropriate classes, lectures, and seminars;
 - Carry out an assessment of the skills training required by the student and arrange for its provision. A tool for Training Needs Analysis and logging of activities is available via the Humanities Training SharePoint [site](#).
- c. To ensure that the student is aware of the University's [Guidance on plagiarism](#), and of any ethical and legal issues, issues concerning health and safety, and issues concerning intellectual property arising from the student's research.
- d. To ensure that students complete the online Research Integrity [course](#) (mandatory from 2021-22 for all new students and PRS students yet to Transfer) and to encourage the student to attend Ethics training provided termly by the Humanities Division.
- e. To ensure that the student is aware of the research resources available in the faculty and elsewhere in the University, including: libraries, museums and other research facilities and infrastructure; financial support for conferences, fieldwork, and travel; and IT support.
- f. To assist the student to become part of the academic community, by encouraging them to engage in the common research activities of the faculty, and to meet other students and members of staff working in the same or adjacent fields.

- g. To encourage the student to attend all appropriate induction courses into the libraries and IT resources needed for their research.
- h. When a student is supervised by two supervisors, both must ensure that all initial advice and guidance is coordinated, and that their respective responsibilities are clearly defined and made known to the student.

2. *Progress, monitoring and feedback*

The supervisor's responsibilities are as follows:

- a. To agree with the student a clear plan of research and identify milestones and set a timetable towards its completion.
- b. To meet regularly with a student, normally at least two times a term when the student is working in Oxford, to review progress against the agreed plan of research, milestones and timetable.
- c. To ensure that the student is aware of the formal requirements and timetable for transfer of status, confirmation of status and final submission, and that this information is incorporated into the plan of research.
- d. To agree with the student a timetable for the submission and return of written work, and to return work, with constructive criticism, within a reasonable time.
- e. To discuss termly supervision reports (see D.1.a below) with the student.
- f. To ensure that the student is aware of, and has taken appropriate action with respect to any health and safety issues connected with the research, including fieldwork.
- g. To ensure that the student has sought ethical approval (if necessary) for their research. Further information is available at: <https://www.admin.ox.ac.uk/curec/>
- h. Should the supervisor become aware of any particular concerns with a student, they will discuss them at an early stage with the Director of Graduate Studies and, if appropriate, with the student's college.
- i. Should a research student decide to go out of residence before submitting the thesis, they must agree a clear reporting structure with the supervisor or supervisors. Students who are not working in Oxford must submit progress reports and written work to the supervisor. The timeframe will vary from case to case – but, as a rule of thumb, students ought to submit a substantial progress report and a piece of written work at least once a term.

3. *Skills training for research students*

- a. A supervisor will monitor a student's skills training needs as they develop over time, including both subject-specific research training and personal and professional training, including training and opportunities for teaching, acknowledging the range of career destinations made available through pursuit of the DPhil.
- b. Faculties shall ensure that the skills training needs of research students, both those specific to the research being undertaken, and training in personal and professional skills are assessed and that training is made

available to every student. The skills are outlined in the Humanities Division's [Researcher Development Strategy](#).

This Strategy takes into account the [Vitae Researcher Development Framework](#) and the [AHRC Research Training Frameworks](#).

- c. It is the responsibility of the supervisor, under the oversight of the Director of Graduate Studies, to ensure that the skills training needs of each of their students are assessed and met.
- d. A student's skills training needs shall be assessed formally at three specific points in the programme:
 - as part of the initial general review of the student's needs;
 - at Transfer of Status;
 - and at Confirmation of Status.

On each occasion, the supervisor should make a written record of the formal assessment, and copies shall be given to the student, the student's college, and the Director of Graduate Studies.

- e. It is, however, an integral part of the supervisor's role, at regular supervisory meetings, to continue to monitor and advise a student on skills training needs, to draw to the student's attention, and to encourage the student to take up, such opportunities as are available for the further development of these skills.
- g. Research students are encouraged to evaluate their own [skills training needs](#), and to discuss these regularly with their supervisors. Students should provide a record of their research skills development in the relevant GSO form when applying for Transfer and Confirmation.

4. *Assisting students in preparing for a career*

- a. The supervisor will assist and encourage the student to participate in the wider academic community, at University, national and international level, through presentation and, if appropriate, publication of their research.
- b. Students who wish to pursue an academic career are encouraged to discuss this with their supervisor, who may be able to advise them upon such matters as attending conferences, publishing research, preparing *curricula vitae*, job applications, and attending job interviews. When seeking such advice or asking for letters of reference, students should ensure that they give their supervisor reasonable time to respond. Students should understand that their supervisor may not always be in the best position to advise them on such matters, and that it is not a supervisor's duty to find jobs for their students.
- c. Supervisors may be able to assist students who wish to follow one of the many other career avenues opened up through doctoral study by advising them on personal and professional training in transferable skills and by preparing references emphasising the range of skills, academic or otherwise, acquired during their doctoral studies. Supervisors (and other academic staff responsible for graduates) should ensure that students are aware that the University's [Careers Service](#) advises graduates as well as undergraduates.

5. *Summary of Supervisor's responsibilities*

- a. To have the specialist knowledge necessary to supervise the student's research.
- b. To have sufficient time to supervise the student.
- c. To accept a student only if able to ensure continuity of supervision until completion.

- d. To advise, guide and support the student in all aspects of research, providing clear intellectual leadership and giving precise guidance about academic expectations.
- e. To produce termly supervision reports.
- f. To monitor a student's skills training needs as they develop over time.
- g. To assist and encourage the student to participate in the wider academic community, and/or beyond it where appropriate.

D. GENERAL RESPONSIBILITIES OF THE SUPERVISOR

1. Reporting

- a. The Supervisor must produce a detailed report on the student's progress at the end of each term, using the online Graduate Supervision Reporting tool – there are also sections for the student to complete; it is not currently compulsory for students to complete reports on their progress, but they should be encouraged to do so.
- b. Supervisors should establish whether students have funding from bodies such as the AHRC and, if so, what terms and conditions are attached to the grant, including thesis submission deadlines, in order to ensure that students meet those requirements. In the case of doctoral awards, the timely receipt of annual reports by the AHRC is a condition for continued funding. Failure to meet the AHRC's requirements may jeopardise AHRC funding for students in the University in the future.

2. Enquiries from prospective students

- a. A prospective student who makes a direct enquiry to potential supervisor must always be referred to the Graduate Admissions Office. All applicants must apply through the [graduate admissions process](#).
- b. In answer to a direct enquiry from a prospective student, a member of staff may:
 - Give a clear undertaking as to whether they has the time and necessary specialisation to supervise the student;
 - Discuss and give guidance on the proposed research project;
 - If appropriate, give advice as to whom else the applicant might approach;
 - Inform the applicant that their qualifications must meet the requisite general entry requirements (e.g. 2.1 or equivalent first degree, the relevant English language requirement, etc.), and any other requirements specific to the particular course of research.
- c. No individual member of staff may accept or reject a prospective student.

Annexe A: RESEARCH SUPERVISION: A BRIEF GUIDE FOR STUDENTS

The role of the Supervisor is to:

- Advise, guide and support you in all aspects of your research, providing clear intellectual leadership and giving precise guidance about academic expectations.
- Agree with you a clear plan of research, identify milestones and provide information on the availability of research resources
- Agree with you a timetable for:
 - regular meetings (normally twice per term) for detailed discussion of your progress
 - the submission of written work, which the supervisor should return to you within a reasonable time
- Produce a detailed report on your progress at the end of each term, using the online Graduate Supervision Reporting tool – there are sections for the student and the supervisor to complete.
- Ensure that you are aware of the formal requirements and expected timetable for transfer of status, confirmation of status and final submission, and that these are incorporated into your plan of work.
- Discuss with you subject-specific and general research skills required for your doctoral studies; work with you to identify areas where you require additional training to develop these and other skills; advise you on how these needs may be met, and assess your skills development and training requirements at least once a year.
- Assist and encourage you to participate in the wider academic community.
- Ensure that you are aware of relevant University guidelines and regulations, e.g. Student Sandbook, programme handbook, Examination Regulations, guidance on plagiarism, and lecture lists.
- Ensure that you are aware of the relevant guidelines and advice for students undertaking fieldwork.
- Ensure that you are aware of the requirements to undertake research on human subjects, if relevant, including obtaining ethical approval.

The role of the Student is to:

- Attend induction sessions arranged by the faculty, Bodleian Libraries and IT Services.
- Meet with your supervisor regularly and take note of their advice and guidance.
- Draw up a research plan and timetable of work in consultation with your supervisor, and to keep relevant records of all aspects of your work.
- Produce a detailed report on your progress at the end of each term, using the online Graduate Supervision Reporting tool – there are sections for the student and the supervisor to complete.
- Inform the supervisor immediately of any circumstance which might lead to interruption of study
- Work with your supervisor to draw up a programme for identifying and developing your subject-specific and general research skills, and personal and professional skills through participating in Faculty, divisional and other training opportunities throughout your studies.

- Attend appropriate classes, lectures, and seminars.
- Be aware of relevant University guidelines and regulations, e.g. Student Handbook, programme handbook, Examination Regulations, guidance on plagiarism, and of any ethical or legal issues, health and safety requirements, or intellectual property issues arising from your research.
- Work with your supervisor to pursue opportunities to engage with the wider academic community at University, national and international level.

Annexe B: Supervisors' responsibilities for students undertaking fieldwork

Fieldwork

The University has a legal duty of care to its students undertaking fieldwork. University Policies and Procedures are in place to set out how this duty of care is to be discharged. These procedures require that risks are assessed and proportionate measures and arrangements put in place to mitigate those risks to an acceptable level.

Responsibility

Supervisors play a key role in this process in terms of a) ensuring risk assessments are carried out b) ensuring their students are properly prepared for their fieldwork, as well as c) bringing their own experience and knowledge to guide, advise, assess and check arrangements. All University employees have a legal duty to take reasonable care for the safety of those affected by their [the employees] acts or omissions. Employees, and students, are therefore expected to comply with the University's [health and safety policies and statement of safety organization](#).

A key requirement for field trips is careful planning to reduce the likelihood or impact of something going wrong. Supervisors must therefore be able to demonstrate this planning by ensuring assessments are in place, appropriately prepared, documented where necessary, reviewed and authorised in line with [University policy](#).

Specific duties of Supervisors are to:

- Be aware of relevant University Safety Policies and Faculty procedures.
- Consider the health and safety implications of any research proposal.
- Ensure their students have received training appropriate to their needs.
- Ensure that risk assessments have been made and the safety provisions relating to the work exist and have been discussed with those doing it.
- Ensure that suitable arrangements are in place for regular contact to provide support and checks on the student's welfare while they are away.
- Review arrangements with the student after the fieldwork to identify any problems and learn any lessons

Training

The Safety Office provide a [range of training on fieldwork](#) for both students and supervisors.