

DPHIL IN INTERNATIONAL DEVELOPMENT

Course Handbook 2015-16

Version 1.1



UNIVERSITY OF
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OXFORD
DEPARTMENT OF
INTERNATIONAL
DEVELOPMENT



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This handbook applies to students starting the DPhil in International Development in the 2015-16 academic year. The information in this handbook may be different for students starting in other years.

Cover Photograph:

Conducting in-depth interviews in Puno, southern Peru.

Photograph taken by Tim Thorp

of Maritza Paredes (sitting far right), DPhil in International Development student in 2008

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PREFACE

Welcome to Oxford, to the Oxford Department of International Development (ODID) and to its D.Phil. programme. I hope you will find this Course Handbook useful.

Its purpose is to give you an overview of the doctoral studies programme, some general advice on how to approach your studies, and much practical information on specific things you need to do or to know along the way. It can be read as a whole, or in bits (use the table of contents to find what you want). Suggestions for improvement in the guide (including correction of errors) are welcome.

You will find that there are other Handbooks with useful information for students: your College Handbook and the Student Handbook. All of them will also be available on-line.

There are many other useful written sources of information, listed in section 1.2 of this guide. But two even more vital sources of information are the front-line administrative staff of this programme:

Ms. Dominique Attala, ODID Graduate Student Administrator, based at Mansfield Road (office on first floor). ☎ (2)81806; e-mail: dominique.attala@qeh.ox.ac.uk

Mrs. Mary Smith, Graduate Studies Administrator for International Development, based at the Social Sciences Divisional Office, Hayes House, 75 George Street ☎(2)14861; email: graduate-studies-1@socsci.ox.ac.uk or mary.smith@admin.ox.ac.uk.

Please make sure that both Dominique and Mary, and also your college always know your current address. If you move, or go away on fieldwork, please tell them your new contact details, so that important letters to you do not go astray.

I am here to help you, too, with advice on process and on problems that you and your supervisors can't resolve (including misunderstandings between you and them, or between you and the system). I will try to meet all D.Phil. students at least once a year – we have an end-of-year review process – as well as when they arrive, and I see most of them more often than that. If you would like to meet or to get a written response, please e-mail me at: nikita.sud@qeh.ox.ac.uk

If you want to raise an issue at a senior level without involving me you should get in touch with ODID's Director of Graduate Studies who is responsible for all the department's teaching programmes. For the 2015-16 academic year, this will be Prof Cathryn Costello e-mail: cathryn.costello@qeh.ox.ac.uk.

You are embarking on a transformative three to four year programme of study. I wish you a fulfilling and productive time at ODID.

Nikita Sud
Associate Professor of Development Studies and
Director of Doctoral Research

October 2015

DISCLAIMER

The Examination Regulations relating to this course are available at <http://www.admin.ox.ac.uk/examregs/2015-16/grgoveresedegr/>
<http://www.admin.ox.ac.uk/examregs/2015-16/grftdodoctofphil/>
and <http://www.admin.ox.ac.uk/examregs/2015-16/rdie-spaisandintedeve/>

If there is a conflict between information in this handbook and the *Examination Regulations* then you should follow the *Examination Regulations*. If you have any concerns please contact Dominique Attala at email: dominique.attala@qeh.ox.ac.uk

The information in this handbook is accurate as at 22 September 2015, however it may be necessary for changes to be made in certain circumstances, as explained at www.graduate.ox.ac.uk/coursechanges. If such changes are made the department will publish a new version of this handbook together with a list of the changes and students will be informed.

SOCIAL SCIENCES DIVISIONAL INDUCTION PROGRAMME 2015/16

ODID is part of the Social Sciences Division of the University.

All doctoral students are strongly encouraged to attend the annual Social Sciences Divisional Induction and Welcome Event.

The 2015–16 event will take place on Thursday, 8th October (Week 0), 4.00 - 6.00 pm in Lecture Theatre 2, Mathematical Institute (Andrew Wiles Building), Radcliffe Observatory Quarter (ROQ), Woodstock Road. Please arrive for registration at 3.45 pm.

The event provides an exciting opportunity for students to meet fellow doctoral students from across the social sciences at Oxford and to hear about the support available for doctoral training. The event will be followed by a drinks reception.

FULL TERM DATES 2015-16

Michaelmas 2015	11 October to 5 December
Hilary 2016	17 January to 5 March
Trinity 2016	24 April to 18 June

Future years' term dates can be found on the website:
www.ox.ac.uk/about/facts-and-figures/dates-of-term

1. INTRODUCTION

This Course Handbook covers the D.Phil. in International Development and the M.Litt. in International Development. The *Framework for Higher Education Qualifications of Degree-Awarding Bodies in England, Wales and Northern Ireland (FHEQ)* level for the D.Phil is 8 and for the M.Litt is 7. Further details can be found on the University's website: www.admin.ox.ac.uk/edc/policiesandguidance/awardsframework/

This introduction offers general advice and a list of sources from which you can get more information and advice on the process of doctoral study in Oxford. The latest edition of this Handbook is also always available on Weblearn weblearn.ox.ac.uk/portal/hierarchy/socsci/geh/dphil/page/resources and on our Departmental website www.qeh.ox.ac.uk.

1.1 SECRETS OF SUCCESS: THESIS OUTLINE AND WORK PLAN

The objectives of your doctoral studies are to produce a thesis containing good quality research, and to get some other relevant professional experience, as rapidly and enjoyably as possible. But you should be aware that the quality of the experience of D.Phil. students varies widely. For many, it is rapid and enjoyable, in accordance with the objectives. For others, however, it is long-drawn-out and painful. In some of these latter cases, the causes are external: ill-health, family problems, fieldwork or supervision difficulties, unanticipated funding crises. But in other cases, sadly, the problems are self-inflicted, as a result of bad planning. This section offers some suggestions for avoiding such problems and succeeding in the achievement of your objectives.

Good planning of doctoral studies, in brief, requires that you always keep one eye on the thesis and the other eye on the clock. To achieve this, you need always to have two short documents to hand: one is the latest version of your thesis outline; the other is the latest version of your timetable and workplan for getting from where you are now to the completion and submission of the thesis. You will regularly be asked by others to show them these two documents – by your supervisor, in your assessments for transfer and confirmation of status, and in correspondence about any changes in your programme of study. But the person to whom they will be most useful is you.

‘Always keeping one eye on the thesis’ means never losing sight of the final product of your work. It is surprisingly easy to be diverted or to misallocate time: to undertake long reviews of interesting but irrelevant literature, while missing really crucial bits; to work in the field pursuing issues that are not central to your research question, while failing to gather information that will be essential when it comes to writing up (or just unnecessarily protracting your fieldwork); or to draft chapters that are far too long to fit into the strict length limits on theses, while postponing the drafting of sections that must be included because they are crucial to the overall argument.

The way to avoid all these pitfalls is to have, and to update regularly, an overall plan of the content and structure of the thesis, with target lengths for chapters. It is good to keep this short – just one or two sides of paper – both because this makes it easier to keep the overall structure in view and because it makes it quicker to revise the plan (which you will need to do many times along the way). It is also good to make an early start: by half-way through your first term, you should have developed a plan based on the outline you submitted with your application, and by the end of your first year, the plan should already have gone through its first few revisions.

‘Always keeping one eye on the clock’ means never losing sight of your long-term timetable. You will also need short-term timetables, for the coming weeks or months. But these should fit into an overall strategy of what you are aiming to do, and by when, from the present moment to the point at which you will submit your final thesis for examination. The Oxford system (explained later in this guide) has some important milestones with prescribed time limits – for example, confirmation of status – that must be in your timetable, but the other elements and phases, including fieldwork and writing up, you must design for yourself, in consultation with your supervisor.

It is never too early to start laying out your long-term timetable. At the start of your studies, the later stages of your timetable are bound to be sketchy, though the target end-date and key intermediate

dates can be specific. You should also realise that nothing, especially not in research, ever goes according to plan, and that you will need to revise your timetable at least as frequently as the plan of your thesis.

People vary in how they work best – students and supervisors – and the approach outlined above will not be right for everyone. Think for yourself about your objectives and how you will be most likely to achieve them, and organise your studies accordingly. Please remember that all research has ups and downs – and usually more downs than ups. There are brief periods of elation, when you hit on a new idea or uncover new evidence, and occasional senses of achievement, for example when you finish the draft of a difficult chapter. But there are long periods of hard work, too, during which you may feel that you are making little or no progress. And things can go wrong: your hypothesis is rejected by the evidence, your outputs are severely criticised, or work you did turns out to have been wasted. Often, what seem like serious setbacks turn out to be minor, or even to be helpful in avoiding or correcting errors. But be prepared for a bumpy ride.

In a set of annual assessment interviews with doctoral students, all those who were shortly going to complete their studies in the normal time limits and without problems were asked how they had succeeded in doing this. Their answers were broadly consistent with the approach above: having a clearly defined topic from the outset; and initially setting an overall length for the period of study (in some cases just three years from PRS entry), and sticking to it and to its intermediate deadlines. But they also had some other good suggestions:

- Get into a group, so as not to get lost or lonely. Some students are automatically in groups as part of externally funded research projects. Others should create their own groups by getting together regularly with students working on similar topics (especially if with the same supervisor) to exchange ideas, comment on each other's drafts and socialise.
- Work on a subject or country which you already know well from previous work or study. Learning about new issues and places, up to doctoral standard, takes a lot more time.
- Design your research topic to relate closely to your supervisor's own current research. To become a part of her or his own research programme yields all sorts of benefits, including greater supervisor interest, more expert comments, and more contacts with others working in your area, including invitations to conferences.
- Use all available funding opportunities. If your parents have offered to fund your studies, then be willing to accept their generosity rather than trying to support yourself by working. Look out for chances to sell parts of your research to development agencies which want to commission studies in your area, and adapt your plans to take advantage of them.

1.2 OTHER SOURCES OF INFORMATION

Most colleges produce handbooks covering various aspects of life in Oxford. But on academic matters, the definitive sources of information are the University's official publications. The key one is the *Examination Regulations*, which includes all the rules on studying for and getting Oxford degrees. 2015-16 will be the final year that this is produced in print and it can be accessed online, which is where any updates made over the year are entered, at www.admin.ox.ac.uk/examregs/. Its bulk is off-putting, and it is not exactly lively reading, but only fairly small parts of it are relevant to doctoral students, and you should know what they say. In the event of any discrepancy between this guide and what is in the *Examination Regulations*, the latter will prevail. The key sections are:

- Regulations for the conduct of examinations
- Exceeding word-limits and late submissions
- Probationer Research Students
- Degree of Doctor of Philosophy, particularly the sections on
 - General regulations
 - Confirmation of status
 - Supervision
 - Residence requirements
 - Examination
 - Content and form of theses

- Conduct of oral examinations
- Suspension
- Removal and reinstatement
- Responsibilities of the supervisor
- Responsibilities of the student
- Development Studies

The Student Gateway website www.ox.ac.uk/students/ has continually updated information which is useful for current students including where the various progression forms and relevant notes can be found. It is a good place to start if you have a question about the University and has links to the sites for Health and Welfare, Disabilities, Visas and Immigration, IT Services, Examinations etc.

The University's **Education Committee** is responsible for policy and standards across all courses. They will consider requests from the Department on behalf of students, for dispensation from Examination Regulations. More information is on their website: www.admin.ox.ac.uk/edc

The *University Gazette*, published at least weekly in term time, contains official announcements, including forthcoming seminars and lectures. Available at: www.ox.ac.uk/gazette/.

Some masters course materials (lecture lists, reading lists, course handbooks, etc) are now held on WebLearn <https://weblearn.ox.ac.uk/portal> to access it you will need your Oxford username and password. The section for this department (International Development) can be found in Social Sciences by clicking on the menus down the left-hand side of the page.

Also on the Department's Weblearn site <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh> are 'Safety, Travel and Pandemic Information' where you'll find the forms required when you travel for fieldwork; and 'Ethics/CUREC' where you'll find information and links to forms to apply for ethics approval for your project. There is also a section for doctoral students where you will find funding application forms.

Lecture lists for some subjects in some Departments are published every term and are posted online at: www.ox.ac.uk/students/academic/lectures/

The various colleges also provide Handbooks for their students, which will be available on their websites. www.ox.ac.uk/admissions/graduate/colleges

The Vitae Researchers' Portal is a consortium of universities and research councils that supports the training and employment of doctoral researchers. You can visit their website at www.vitae.ac.uk

There are also books on doctoral research, including the following (available from the library of the Oxford Learning Institute www.learning.ox.ac.uk/):

Cryer, P. 2000. *The research students' guide to success* (2nd edition). Open University Press.

Dunleavy, P. 2002. *Authoring a PhD: How to plan, draft, write and finish a doctoral thesis*.

Leonard, D. 2000. *A woman's guide to doctoral studies*. Open University Press.

Phillips, E.M. and D.S. Pugh. 2000. *How to get a PhD: A handbook for research students and their supervisors* (3rd edition). Open University Press.

Whisker, G. 2001. *The postgraduate research handbook: succeed with your MA, M.Phil., EdD and PhD*. Palgrave.

2. PEOPLE

The most important people in a programme of doctoral study are the student and the supervisor(s). Their responsibilities are specified in the University's *Policy and Guidance for Research Degrees* www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees/, issued by the University's Educational Committee (EdC) and the 'Code of practice on supervision' on the Social Sciences Division website (www.socsci.ox.ac.uk/students/for-postgraduates) on which this section draws.

2.1 STUDENT

Ultimate responsibility for progress and performance rests with students. They must discuss with their supervisors the type of guidance and comments they want, and arrange meetings. They must find out and follow the regulations relevant to their course, seeking clarification from supervisors and others when necessary. They should not hesitate to take the initiative in raising problems or difficulties, however elementary these may seem. It is also the responsibility of students to decide when they wish to submit their theses for examination, after taking advice from their supervisors.

Supervisors have many competing demands on their time. Students should therefore hand in work for comment in good time to their supervisors and give adequate notice of meetings. The need for adequate notice applies also to requests for references from supervisors. Students should maintain progress in accordance with the plan of work agreed with their supervisors. They should be aware that the provision of constructive criticism is central to a satisfactory supervisory relationship, and should act on guidance and corrective action proposed by supervisors.

If a student wishes to consider adding or changing a supervision arrangements, this should be discussed with the supervisor or, if that would be difficult, with the Director of Doctoral Research or the College Advisor. To change (or add) a supervisor, students can apply to the Graduate Studies Committee on form GSO.25, to be sent to Mary Smith, our Graduate Studies Administrator.

2.2 SUPERVISOR(S) (ALSO SEE APPENDIX V)

Every research student has one or two supervisors with whom s/he works closely throughout the period of doctoral research. In the case of joint supervision, at least one supervisor must be based at ODID. In theory, both supervisors bear equal responsibility, but in practice they and the student usually agree on a division of responsibility for different aspects of the research. It is most unusual to have more than two supervisors. If supervisors go on sabbatical leave, they and the Graduate Studies Committee ensure that alternative supervision arrangements are made.

Probationary Research Students doing examined coursework may receive special supervision from other members of staff in the Department and in the University, for which arrangements are made by the supervisor. Students may also approach other members of ODID staff for advice on their work. Students' work is read, assessed and commented on by members of staff other than their supervisor(s) during the processes of transfer and confirmation of status.

Although ultimate responsibility rests with students, supervisors too have responsibilities both to their students and to the Graduate Studies Committee.

Supervisors are expected to meet their students regularly, on an agreed schedule – at a minimum, once every two weeks in the first term, and three times each term thereafter. Students should take notes at these meetings and send them to their supervisors(s) to record agreement, progress and other matters related to the student's programme of study. The frequency of meetings with supervisors has been found to be the single most important determinant of research student satisfaction in Oxford. If there are two supervisors, at least one joint meeting each term is desirable, and the student should convey relevant outcomes of meetings with one supervisor to the other. Supervisors should be accessible to students at other appropriate times when advice is needed.

Supervisors and students should ensure that they are in contact at least once a month, if not more regularly, at least by email if they do not have meetings. This is especially important when students

are out in the field or are not in Oxford. It will also help the Department to comply with the UK Home Office regulations governing students who have a student visa.

Supervisors are responsible for giving early advice about the nature of research and the standard expected for the transfer and confirmation papers as well as the thesis. They must advise students about literature and sources, attendance at classes, and relevant techniques (including helping to arrange instruction where necessary). This is particularly important for the design of fieldwork or surveys, and where the thesis will involve statistical analysis.

Supervisors should request written work as appropriate and in accordance with the plan discussed with students. The work should be returned with constructive criticism and in reasonable time. It is not possible to define 'reasonable time' in a general or precise way, because other aspects of the workload of supervisors fluctuate, but their minimum obligation, on receipt of written work, is to tell the student when feedback will be provided and to stick to that date. Supervisors should also assist students to discuss their research with other Oxford staff and students, and to communicate their findings to the wider academic community, both orally and in writing.

Except where students' theses are part of an externally funded research programme, supervisors are not responsible for arranging finance for their studies. Supervisors are expected to write references in support of funding applications, but not to pursue funding opportunities. Students can however get information on funding sources from Dominique Attala, and advice on financial problems from their Colleges or the Student Funding Office (discussed in the next section). There is a Divisional guide on research supervision on Weblearn at:

<https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/dphil/page/resources>

Supervisors write termly reports for the University on the progress of their students. These reports are entered using the on-line Graduate Supervision System (GSS) and accessed from the GSS website (www.gss.ox.ac.uk/) using your Single-Sign-On details. At the start of the process each student is encouraged to enter their own report on their progress that term. The supervisors then enter their report and once they have released it, it can be accessed both by the student and the college. Further information on GSS can be found in Appendix VI. Supervisors are also expected directly and regularly to keep students informed of how well their work is progressing.

If you have any issues with teaching or supervision please raise these as soon as possible so that they can be addressed promptly. Details of who to contact are provided in Appendix XVII.

2.3 COLLEGE ADVISORS

To be a student at Oxford, membership of a college is required, and the teaching of undergraduates is undertaken jointly by colleges and University departments (of which ODID is one). Supervision and teaching of graduate students is provided entirely by their departments, but for graduate as well as undergraduate students, colleges provide many other useful services.

Your college will assign one of its faculty members (called Fellows) to be your College Advisor. Another Fellow of the college will have responsibility for all of its graduate students: the Tutor for Graduates or Senior Tutor, depending on whether the college has both undergraduate and graduate students or only graduates. Departments are required to copy all significant information on the progress of graduate students to their colleges, and the consent of the college is required at several stages of a D.Phil. (for example, in applying for confirmation of status).

How much contact graduate research students have with their College Advisors and Tutors varies greatly, depending on the preferences of the student and the advisor and on the circumstances of the student. Your advisor is unlikely to chase after you, but will usually be glad to meet whenever you choose to take the initiative. It is worth cultivating her or him, partly to broaden your experience of Oxford but also because s/he can be helpful if things go wrong, as can College Tutors.

Colleges are assigned the lead role in student finance – checking in advance that applicants have enough money to complete their courses, and helping students deal with financial problems – and in

almost all non-academic matters. But they can also be helpful in academic matters, particularly if you run into difficulties. Your College Advisor or Tutor can give you impartial advice, help you negotiate, and (if you wish) intervene on your behalf.

Colleges will also be responsible for registering students, reminding students to ensure their contact and other information is up-to-date on the central system (which is particularly important for overseas students), and signing them up for a graduation ceremony.

2.4 GRADUATE STUDIES COMMITTEE

Formal responsibility for most decisions on doctoral students rests with ODID's Graduate Studies Committee (GSC), which is chaired by the Director of Graduate Studies (DGS). For the 2015-16 academic year, the DGS will be Professor Cathryn Costello. Other members of the GSC are the Director of ODID, the Admissions Tutor and the Directors of all ODID's graduate programmes. The Committee meets on the Tuesdays of the second and seventh weeks of each of Oxford's three terms.

The GSC has overall responsibility for research degrees, and for monitoring students' performance and progress. It is responsible for admitting new students and for appointing their supervisors, as well as their assessors for transfer and confirmation of status and their final examiners, all of who formally report to the GSC and whose recommendations have to be agreed by the GSC. It decides also on applications for extension of time, change of thesis title or supervisor, suspension of status and reinstatement, and dispensation from residence requirements. The GSC also discusses and acts on policies set by the central University, the Social Sciences Division and the Educational Committee (EdC).

2.5 COURSE DIRECTOR

Responsibility for the academic administration of ODID's doctoral programme rests with the Director of Doctoral Research (DDR). For the 2015-16 academic year, the DDR will be: Professor Nikita Sud. The DDR is accountable to, and a member of, the GSC. However, since the GSC meets infrequently, it has delegated some of its powers to the DDR in order to permit faster decisions on issues affecting students – on some of which s/he will consult with the DGS and other members of the GSC. The DDR meets all newly arrived doctoral students to discuss their needs for research training, in consultation with their supervisors. The DDR also has review meetings with doctoral students individually once a year, usually in Trinity Term (but at other times if they are away on fieldwork). Also in Trinity Term, usually in preparation for these meetings, **all** doctoral students are required to fill in a form which assesses both their own progress and the performance of their supervisors and other relevant aspects of ODID. The DDR reviews the termly reports of supervisors on all students, and contacts them if there are any issues which require discussion. S/he also sees the reports of assessors for transfer of status and confirmation of status, and in these ways seeks to keep track of the progress of students. S/he is glad to meet students, or to respond to questions in writing, if issues arise which cannot be resolved by supervisors (or by Dominique Attala or Mary Smith). Email to ask a question or to arrange an appointment.

2.6 ODID GRADUATE STUDENT ADMINISTRATOR

The advice of the ODID Graduate Student Administrator, Ms. Dominique Attala, should be sought on administrative matters related to the course: if she cannot give you the answer herself, she can direct you to the right person. She also oversees the allocation of student workspace (which is effectively delegated to one of the D.Phil. student representatives) and computers, in consultation with Ms. Julia Knight, ODID's Administrator, and Ms. Rachel Crawford, ODID's IT Officer. Dominique can provide you with information on scholarships and funding, and direct you to university services such as the IT Services or the Language Centre. Her office is on the first floor of the Mansfield Road building (☎(2)81806, or e-mail dominique.attala@qeh.ox.ac.uk).

2.7 DIVISIONAL OFFICE AND GRADUATE STUDIES ADMINISTRATOR

Many matters concerning doctoral students involve the central University and the Social Sciences Divisional Offices, in addition to ODID (one of its departments). Ms. Mary Smith, our Graduate Studies Administrator, is responsible for research students in International Development. She is based in the Social Sciences Divisional Offices, Hayes House, 75 George Street, (☎(2)14861, or e-mail) mary.smith@admin.ox.ac.uk or graduate-studies-1@socsci.ox.ac.uk.

Mary Smith knows a lot about the University's formal rules and regulations and their interpretation (more than most supervisors), and is available to answer questions and provide information. She also sends reminders to doctoral students and supervisors about transfer, confirmation and final submission deadlines. As the secretary of ODID's Graduate Studies Committee, Mary is also the official channel of communication between doctoral students and the committee: forms and letters and written work for assessment for transfer and confirmation should be sent to her, and you will hear officially from her about decisions that affect you. To obtain the various progression forms you will need, download them from www.ox.ac.uk/students/academic/guidance/graduate/progression

2.8 STUDENT REPRESENTATIVES

ODID doctoral students elect representatives in the Michaelmas Term, usually one for PRS and one for D.Phil., students, who maintain regular contact with relevant people in ODID, including the Director of Doctoral Research. A list of the current student representatives will be posted on Weblearn after they have all been elected at the beginning of Michaelmas Term: <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/dphil/page/resources>

They meet as required in a Joint Consultative Committee (JCC) with the DDR and the Director of Graduate Studies, at which time issues can be raised about research, teaching, supervision and facilities. These meetings are informal and any doctoral student can attend them. They are chaired by the DGS, and minutes are taken by the student representatives. Issues raised at these meetings are acted upon by appropriate people or committees. The representatives also coordinate decision-making among doctoral students on issues of common interest such as desk-space property rights and rules of behaviour in the shared working area. They organise, or arrange for another student to organise, the weekly doctoral work-in-progress seminar. A student representative also sits on the committee of the Social Sciences Library and the Division's student consultative committee.

Student representatives sitting on the Divisional Board are selected through a process organized by the OUSU. Details can be found on the OUSU website along with information about student representation at the University level.

2.9 EQUALITY AND DIVERSITY AT OXFORD

“The University of Oxford is committed to fostering an inclusive culture which promotes equality, values diversity and maintains a working, learning and social environment in which the rights and dignity of all its staff and students are respected.” [Equality Policy](#) (2013)

Oxford is a diverse community with staff and students from over 140 countries, all with different cultures, beliefs and backgrounds. As a member of the University you contribute towards making it an inclusive environment and we ask that you treat other members of the university community with respect, courtesy and consideration.

The Equality and Diversity Unit works with all parts of the collegiate University to develop and promote an understanding of equality and diversity and ensure that this is reflected in all its processes. The Unit also supports the University in meeting the legal requirements of the Equality Act 2010, including eliminating unlawful discrimination, promoting equality of opportunity and fostering good relations between people with and without the ‘protected characteristics’ of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and/or belief and sexual orientation. Visit our website for further details or contact us directly for advice: www.admin.ox.ac.uk/eop or equality@admin.ox.ac.uk.

The Equality and Diversity Unit also supports a network of around 300 harassment advisors in departments/faculties and colleges and a central Harassment Advisory Service. For more information on the University's Harassment and Bullying policy and the support available for students visit: www.admin.ox.ac.uk/eop/harassmentadvice

There is range of faith societies, belief groups, and religious centres within Oxford University that are open to students. For more information visit: www.admin.ox.ac.uk/eop/religionandbelief/faithsocietiesgroupsorreligiouscentres/

2.10 STUDENT WELFARE AND SUPPORT SERVICES

Your college takes the lead role in welfare. Most colleges will have a Welfare Officer, although for some, this role is taken by another college staff member (sometimes the Chaplain, or the Senior Tutor). Remember, you always have the opportunity to discuss any problems both with your Departmental supervisor and your College Advisor. Information will be in your College Handbook or website.

You can also contact Dominique Attala, the Graduate Student Administrator, your supervisor, or the DDR for help from the Department or to let us know if you are ill or otherwise unable to work.

The Disability Advisory Service (DAS) can provide information, advice and guidance on the way in which a particular disability may impact on your student experience at the University and assist with organising disability-related study support. The University is obliged to make reasonable adjustments for disability. It is possible for students to apply through their college for adjustments to be made to examination arrangements and these vary depending on the disability. For more information visit: www.ox.ac.uk/students/shw/das

The Counselling Service is here to help you address personal or emotional problems that get in the way of having a good experience at Oxford and realising your full academic and personal potential. They offer a free and confidential service. For more information visit: www.ox.ac.uk/students/shw/counselling

A range of services led by students are available to help provide support to other students, including the peer supporter network, the OUSU Student Advice Service and Nightline. For more information visit: www.ox.ac.uk/students/shw/peer

OUSU also runs a series of campaigns to raise awareness and promote causes that matter to students. For full details, visit: ousu.org/get-involved/campaigns

There is a wide range of student clubs and societies to get involved in - for more details visit: www.ox.ac.uk/students/life/clubs

3. STAGES OF PROGRESS

3.1 STRUCTURE OF THE DOCTORAL STUDIES PROGRAMME (THREE TO FOUR YEARS)

3.1.1 Overview of the stages

One year	Probationary research studies -Coursework for examination -Preparation of transfer paper (milestone) -Presentation of transfer paper (Weeks 7 or 8 Hilary Term) -Submission of application for Transfer of Status forms and transfer paper (by end of Week 2 Trinity Term) -Assessment of transfer paper (by end of Trinity Term) -Transfer to D.Phil. student status	Transfer from M.Phil.
One year	Getting to confirmation of status (milestone) -Finalise preparation for fieldwork -Carry out fieldwork (or other research) -Write core chapters based on research -Assessment for Confirmation of Status (application submitted Week 2 of milestone term)	
One year	From confirmation to completion (milestone) -Write remaining chapters -Supervisor reviews whole thesis -Revise all chapters of thesis -Submit thesis for examination	

The table above outlines the three stages of work in the doctoral programme. It gives a simple overview of what needs to be done, and in what sequence. Each of the milestone stages is explained in greater detail in the following sections of this guide. In particular, please read [Appendix II](#) for information on the Transfer process and [Appendix III](#) for information on the Confirmation process.

The first stage is relevant to those who enter as Probationary Research Students (PRS). It includes *examined coursework* and writing a full plan for the thesis (including a literature review), which is known as a *transfer paper*. (The double lines indicate that the coursework and paper should be done in parallel.) This paper is independently assessed, and if it is judged to be satisfactory and the relevant course exam is passed, there is *transfer of status* from PRS to Doctoral Student (see [Appendix II](#) for further information).

Some students who entered from ODID's M.Phil. in Development Studies start at the second stage, with D.Phil. student status acquired through these first two years of study.

The second stage is usually the longest and the most fundamental. During it, students carry out the main part of their research, either by fieldwork or by other methods, and write much of it up. Drafts of one to two core chapters are then assessed by two independent experts (submission of 15,000 to 20,000 words). If the submission is judged to be of doctoral quality, there is *confirmation of status* as a D.Phil. student. (See [Appendix III](#) for further information.)

In the third and final stage, students write up any further chapters based on their fieldwork and additional chapters needed for the complete thesis, which usually also includes material from the transfer paper or (for entrants from the M.Phil.) from the M.Phil. thesis. Supervisors review and comment on the draft thesis, which students then revise and submit for examination.

3.1.2 How long should it take?

The normal length of time for completing a doctorate in UK universities is either three years (following a one-year master's degree) or two years (following a two-year master's degree), and formally that is the timetable for this D.Phil. programme, too. However, in development studies, as in some other social science disciplines, research data generally need to be collected through

fieldwork (rather than, for example, being taken from some existing statistical database), which usually adds another year to the time needed to complete a thesis. Between three to four years is usual to complete a thesis in International Development. Thus PRS entrants should plan to complete in three to four years, and M.Phil. entrants in two to three years. These time-spans are consistent with the *Examination Regulations*, which direct examiners to judge a D.Phil. thesis by whether, among other things, it is 'what may reasonably be expected of a capable and diligent student after three years of full-time study'.

The approximate division of this time between the three stages is indicated in the figure above. For PRS entrants, transfer of status by the end of the final term of the first year is required if the overall timetable is to be achieved. Fieldwork should begin in the summer vacation after the third term or sometime early in the second year. Confirmation of status should be completed no less than nine months before the target date for completion, to make it possible to respond properly to the comments of the confirmation assessor on the core chapters and of the supervisor on the complete draft thesis. Students who are at or close to a milestone deadline (for transfer or confirmation) will be added to a register kept by the Social Science Division. These students will be required to meet with the DDR and their supervisor to discuss their progress, and a report will be sent to the Division.

Where problems arise – for example, medical or domestic ones – which interrupt progress with the thesis, it is possible, as explained in a later section, for students to get permission to suspend status, the effect of which is to 'stop the clock' for an agreed length of time.

3.1.3 Scope for other work

The Oxford doctoral degree is a full-time course, and students should expect to work on their research at least 40 hours per week, normally during working hours (9.00 am to 5.00 pm on weekdays), for a minimum of 44 weeks of the year. Any paid work should still allow students to study during these times. Guarantees made to colleges are regarded as binding by ODID, which expects students to make use of the funding sources they have specified, and does not allow them to undertake large amounts of paid work or in other ways to interrupt or delay their studies on grounds of insufficient funding (unless they can prove that for reasons outside their control funding that was originally guaranteed has ceased to be available).

It is desirable for non-financial reasons, during study for a doctorate, to get some other professional experience – teaching, research assistance and consultancy – which can enhance C.V.s and broaden knowledge. Teaching opportunities for doctoral students are promoted by the D.Phil. Graduate Teaching Co-ordinator in the Department who also organises the 'Preparation for learning and teaching' courses which anyone who would like to do any teaching within the University (not just the Department) must do first.

Students must normally have completed (or had waived) transfer of status before taking on any teaching activities. Before considering any teaching, students must seek agreement from their supervisor and advice as to whether their research is making good progress and they are expected to complete on time.

Oxford's official norm (www.admin.ox.ac.uk/edc/policiesandguidance/policyonpaidwork/) is that students should do no more than six to eight hours of paid work per week (including time for preparation and marking, in the case of teaching assistance). UK Research Council or other funding bodies might restrict this further to between five and six hours (including preparation). The ODID Graduate Studies Committee requires students who wish to take up paid employment to seek advice from their supervisors (course supervisors for Masters' students and thesis supervisors for doctoral students) **before** taking up any such employment. Students must ensure that paid employment does not impair their studies. Supervisors must be consulted on a termly basis to enable them to monitor that a proper balance is maintained between paid employment and academic course work. Please note that University guidelines allow doctoral research students to teach or undertake research assistance for a maximum of six hours each week, but Masters' courses are expected to entail full-time commitment.

3.1.4 Residence requirements

The minimum length of time for which students are required to live and work in Oxford in order to get a D.Phil. is six terms unless the student already holds an Oxford M.Litt., M.Phil. or M.Sc., in which case the minimum is three terms. Students must be resident in Oxford for the whole period of PRS. The rules can be found in the *Examination Regulations*. Students may apply to be exempted from up to three terms of this requirement, but this dispensation is granted only in unusual circumstances and almost never during the PRS.

Students with D.Phil. status (after transfer from PRS or entry from the M.Phil.) are not required to reside continuously after they have completed the minimum terms of residence, and most of them need to be away from Oxford for long periods to carry out their fieldwork. When away on fieldwork, however, it is important that they keep the department and their colleges informed of their plans and maintain regular contact with their supervisors. **In particular, those who have entered the UK on a student visa must ensure that they keep in regular contact with their supervisor and the Graduate Student Administrator.**

Even after completing the minimum required period of residence and their fieldwork, students are encouraged and advised to work on their theses in Oxford. Close contact with supervisors is vital for good progress, and students who choose to work away from Oxford often experience serious delays and problems with confirmation of status and examination.

3.1.5 Rules for word counts

At several stages, as explained in this guide, you are asked to submit written materials that are no longer than some specified number of words (e.g. 100,000 for the final thesis). You thus need to know the rules for counting words laid down by the Social Sciences Division (of which ODID is a department). The word count includes all text (including footnotes and appendices) *except* lists of references and bibliographies. It also includes figures and tables, which count for the number of words that would have been in the space that they occupy. In a very few special circumstances an additional 10,000 word appendix may be permitted by the Graduate Studies Committee.

3.1.6 Publishing your research

Oxford allows students to publish some of their research prior to its submission in D.Phil. thesis. In other words, you are permitted to include in your thesis material that has already been published. However, you must clearly identify previously published material in the thesis (for example, in the introduction), and ensure that you do not breach any copyright rules that were attached to publications. You may have difficulty in including published work that was co-authored: this is acceptable only when your own contribution to the publication can clearly be identified.

The bulk of the thesis should be from work conducted whilst on the D.Phil and it is preferable that you do not include material already used to earn a degree outside Oxford. Any work used from another degree should be declared on the GSO.3 at the time of submission, and a statement included with the form. You should discuss with your supervisor any possible relationship between work submitted for another degree and the D.Phil early on, preferably in your first term. See the *Examination Regulations* D.Phil Regulations section on Examination of Students for the Degree of Doctor of Philosophy and the regulations of the Education Committee .

ODID encourages D.Phil. students to publish parts of their research as early as possible. Time lags in publication are long (on average around two years for a journal article from initial submission to appearance in print), so there are advantages to starting soon, particularly if you want a strong C.V. for academic job applications by the time you complete the thesis. Also, you may get valuable comments from journal referees – even if your paper is rejected. Papers can be put into the public domain faster by submitting them to ODID's web-based Working Paper series or another similar series – which may also generate useful comments.

Preparing material for publication is therefore often a good reason for taking time out from simply writing your thesis. But you should minimise the conflict between these two objectives by careful design of publications and thesis – maximising the overlap. ODID allows theses whose disciplinary orientation is primarily economic to be structured as a set of articles, which makes publication simpler. Non-economic theses must have a more integrated structure, but can be organised and written in ways that make it relatively easy to extract articles for publication from them. The duality of approaches with regard to publishing D.Phil. research may leave some confusion in your mind. Please feel free to address any concerns regarding publication to the Director of Doctoral Research at any time during your doctoral studies.

3.2 PROBATIONARY RESEARCH STUDIES

The probationary period is intended for the development of and early work on the thesis topic, for learning relevant research methods, language and computing skills, and for attendance at lectures, seminars and classes in the general topic area. During this stage, residence in Oxford is required, other than in exceptional circumstances, and field research is not permitted.

PRS students are encouraged to achieve transfer (*the first Milestone*) to D.Phil. status by the end of their first year (in the third term is preferable), which involves passing an examined course and assessors approving a transfer paper. **ODID prefers students to have completed their transfer by the end of Trinity Term, therefore they should submit the full application for Transfer of Status in 2nd Week of Trinity Term.** University rules allow PRS status to continue for up to four terms (special permission is required for extra time), but delaying transfer to the second year should be avoided if at all possible (see Appendix II for further information).

3.2.1 Examined coursework

All PRS are expected to do some *examined* coursework during their first year. Supervised essays or informal attendance at lecture courses do not count. The course may be a paper from the M.Phil. in Development Studies (Appendix XII) or from a related degree in Oxford (subject to the approval of the Graduate Studies Committees (GSCs) both of ODID and of the other department).

The choice of paper should reflect the research needs of the individual student, and must be agreed with her or his supervisor before the start of the first term, so that the student can start attending the relevant lectures and classes. The choice is usually made in a meeting with the supervisor in 0th week (the one before term starts), often following some prior correspondence. Dominique Attala and the Director of Doctoral Research (DDR) should be informed of the choice no later than Monday morning of 1st week, and during that week the student will have a meeting with the DDR. The choice has to be approved by the ODID GSC at a meeting in 2nd Week.

Most exams are held in Trinity Term (in May or June). If a student fails, a re-sit of the exam is allowed. The exam must be passed (with a good pass) in order to continue to the second year and for successful transfer of status. See 3.6.3 for information on what to do if you are taken ill during examinations.

3.2.2 Preparation of transfer paper (also see Appendix II)

The transfer paper is essentially the plan for the thesis, which *justifies and locates the research in relation to earlier work in the field (theoretical and empirical), sets out the questions, hypotheses or issues on which it will focus, and describes and explains the methods by which these will be answered, tested or addressed.* The discussion of methodology is particularly crucial: the world is awash with interesting questions, but good ways of answering them are scarce. All this needs to be written up in a paper of no more than 10,000 words, professionally presented (and in 1.5 or double spacing), to which draft questionnaires and other relevant material can be appended.

Although the final stages of preparation of the transfer paper will of course be concentrated in the latter part of the year, you are advised to start thinking about it from your first week and to work on it in stages throughout the year. Questions, hypotheses and methods benefit from being kicked about,

argued over, reflected upon and revised many times over a protracted period. Start with sketches of a page or two, discuss them with your supervisor and friends, revise them, discuss them some more, and gradually expand them as your ideas become more settled. Write a draft of the complete paper well ahead of your planned submission date, so that your supervisor will have enough time to comment on it and you will have enough time to revise it thoroughly.

A good grasp of the existing literature is crucial to the success of any research project, so in the course of preparing the transfer paper you will need to do quite a lot of reading. But do this in a focused way and in parallel with the evolution of the paper itself. Base your reading at each stage on the latest sketch of your paper, which should shape what you read and what you look for in the reading. Then use what you have read in the next revision of your sketch. Go through this loop repeatedly. In this way, avoid the common but serious error of believing that it is necessary to do a comprehensive literature review before starting to think about your own research.

To help the students with their preparation for Transfer of Status, all PRSs are required to do a transfer presentation in either 7th or 8th Week of Hilary Term, to which their supervisor will be invited. The presentation will be 15 minutes long followed by 10 minutes Q&A. The presentation should include a clear and focused research question(s), a brief literature review indicating the contribution of the research to the field, the theoretical framework that the study is to build upon, detailed explanations of the research methods to be used, and a timetable for the proposed research.

3.2.3 Assessment of transfer paper

The rules of the transfer process are laid out in the *Examination Regulations*. For the purposes of this process, you need to submit the following items:

(i) a completed transfer of status forms GSO.2 and ODID.1, on which the supervisor will suggest the names of two suitable assessors (normally academic staff working in the University of Oxford: only in exceptional circumstances will external assessors be appointed). The forms should be signed by you and your supervisor, and the GSO.2 should also be signed by your college Senior Tutor or equivalent, before they are submitted. These forms should be submitted to Dominique Attala by **Friday of 2nd Week of your third term**;

(ii) a provisional thesis title and outline of the proposed research (up to 500 words, including a list of chapter headings, and some indication of the expected contribution to knowledge);

(iii) the transfer paper itself in two copies (up to 10,000 words excluding appendices). This can be emailed to the Graduate Studies Administrator. This word limit must be strictly adhered to and submissions over the limit cannot be accepted.

These two documents (ii) and (iii) should be submitted to Mary Smith, the Graduate Student Administrator at the Social Sciences Division Office also by **Friday of 6th Week of the third term**. If the viva meeting is scheduled before this date, the papers must be submitted at least three weeks before the meeting.

Although you can initiate the transfer process earlier if you wish, ODID expects PRSs to apply for transfer at the beginning of their third term. Any student who has not applied to transfer status by 6th Week of their third term will be required to attend a formal academic review meeting involving their supervisor(s) and the Director of Doctoral Research. The purpose of this meeting will be to review progress to date and to draw up a timetable to ensure that the transfer is successfully achieved within four terms.

Formally, assessors are appointed by the ODID GSC, which meets only twice per term, but it has delegated this power to the DDR (who can consult other members of the Committee as necessary). To ensure that the assessment happens reasonably soon after the transfer paper is submitted, the assessors need to be appointed in advance. Therefore, items (i) and (ii) can be submitted any time after the presentation sessions in 7th or 8th Week of Hilary Term up to the deadline of 6th Week of Trinity Term, when the transfer paper itself must be submitted. The transfer assessment meeting must take place before the end of Trinity Term. *You should note that academic staff tend to leave*

Oxford during the breaks between the three terms so you should make sure you are aware of your supervisor's travel plans so that the forms are signed before the deadline. It is also often helpful for the supervisor informally to check that the proposed assessors are available, before putting their names on the form, and to tell them when the paper will be submitted (so that they can fit the assessment into their future plans). The assessors are expected to read and viva the student within a six to eight week period. This time frame may actually be longer depending on the workload and prior commitments of the assessors.

The assessors then review the transfer paper and interview the student (it is not necessary to wear *sub fusc* for this interview, but you should be smartly dressed, as you might be for a job interview). After the interview, the assessors write a report to the GSC, containing a recommendation and other comments, on the basis of which the Committee decides whether or not to approve transfer to D.Phil. status. If the Committee does not approve transfer, it will usually ask the student to submit a revised paper for further assessment within one additional term. The second attempt cannot be deferred to a later term. Only one resubmission is allowed if the first attempt is unsuccessful. You should include a statement explaining how you have responded to the comments of your assessors in your resubmission. A second meeting *may* be scheduled for the second attempt at Transfer of Status.

If, following resubmission, the GSC still feels unable to approve transfer to D.Phil. status, it may advise the student to withdraw from the course, in which case the student will be removed from the Register of Graduate Students. Alternatively, it may offer a transfer to M.Litt. status – the M.Litt. being a less demanding and quicker research degree (Appendix XVI).

3.3 TRANSFER FROM THE M.PHIL.

Students who enter the D.Phil. programme from the M.Phil. should be at roughly the same stage as PRS entrants who have just transferred status, with a good knowledge of the topic of the thesis, a well-developed research plan for the next two to three years, and in a position to start fieldwork during or at the end of their first term. A rapid start on fieldwork is essential if the thesis is to be completed within the target period of two years plus fieldwork.

The key to a successful transition from M.Phil. to D.Phil. lies in the relationship between the two theses. ODID does not allow students to transfer from the M.Phil. to the D.Phil. if they wish to switch to a different topic and thus cannot incorporate work done for their M.Phil. theses into their D.Phil. theses, because this causes unacceptable delay in completing the D.Phil. Changes of emphasis are fine, but if the subject of the D.Phil. thesis alters substantially from what was stated in the application to the D.Phil. programme, permission must be sought for a change of title (on form GSO.6). If the change in title is radical, the GSC may require an assessment of the new topic and the time needed to complete it, similar to that for transfer from PRS status (this assessment would be in addition to the confirmation of status process). ESRC-funded students must submit change of title forms to the ESRC Studentship Officer in the Social Sciences Division.

The topic for the M.Phil. thesis should have been chosen, among other reasons, because of its suitability for later extension to a D.Phil. thesis. There are many possible ways of extending an M.Phil. thesis, depending on its topic – for example, by making comparisons with another country or region, or by complementary research in the same country at a different level (regional rather than local, or national rather than regional), or by using other methods, sources or data to generate more evidence on the same issue. But the D.Phil. thesis must include substantial further research: it cannot be simply a longer version of the M.Phil. thesis (and to check this, the D.Phil. examiners can ask to see the M.Phil. thesis). Also, crucially, it must have ‘made a significant and substantial contribution in the particular field of learning within which the subject of the thesis falls’, which is a higher standard than is required of a thesis at the master’s level.

3.3.1 Transfer paper for students moving from M.Phil to D.Phil status

In order to facilitate the transition from M.Phil to D.Phil status, students are required to submit a transfer-type report focusing on the extension of the M.Phil research to a D.Phil thesis by the end of

Michaelmas Term of their first year of D.Phil study. The transfer report should be submitted to the supervisor who will assess the document.

The transfer paper is essentially the plan for the D.Phil thesis with a special focus on the extension of the M.Phil thesis. It should explain the link to the M.Phil thesis; justify the extended research as a substantial addition to the M.Phil thesis; locate the overall research in broader literature in the field; set out the additional research questions, hypotheses or issues on which it will focus; describe and explain the methods by which these will be answered, tested or addressed; and plan a timetable for the research to be carried out. All this needs to be written up in a paper of no more than 5,000 words, professionally presented (and in 1.5 or double spacing), to which draft questionnaires and other relevant material can be appended.

3.4. GETTING TO CONFIRMATION OF STATUS (ALSO SEE APPENDIX III)

The stage between transfer of status or entry from the M.Phil. (*the first Milestone*) and confirmation of status (*the second Milestone*) is the longest and most fundamental part of the work on a doctorate. During it, students carry out the bulk of their research, by fieldwork or other methods, and undertake the initial writing up of their results. Their outputs are then subjected to independent scrutiny before they are allowed (after confirmation as D.Phil. students) to complete their theses and submit them for examination. Students are required to apply for confirmation of status at the beginning of their ninth term after arrival in Oxford if they started as a PRS. Those who started their D.Phil. from the M.Phil. should apply for confirmation of status at the beginning of their eleventh term after arrival in Oxford, which is the end of their fifth term of D.Phil.

3.4.1 Fieldwork or other research (Please read Appendix XVIII)

Research is clearly the most basic element of doctoral study, but this guide, which is mainly about process, has little to say about it. In terms of substance and methods, the key guides for students are their supervisors, others working in the same area, and their friends and colleagues. However, there are some important process aspects.

Much of the preparation for fieldwork will already have been done by the start of this stage. The overall design of the research will have been specified in the transfer paper or in the M.Phil. thesis and application for the D.Phil. programme. During the PRS year or the M.Phil., students should have attended relevant University and departmental workshops and seminars on practical aspects of research design and fieldwork.

However, some final preparation for the fieldwork will usually still be necessary. The official permissions from the country concerned and arrangements with host or counterpart institutions may need to be tied up. Securing funding to cover fieldwork costs can also take time. You will already have an idea of the costs that you are likely to incur during fieldwork, but these can vary greatly depending on length of fieldwork, number of trips necessary, countries to be visited. The Department has some funding to contribute to these costs which are detailed in Appendix X.

IMPORTANT: Before departing, all students **must** also complete the departmental Safety in Fieldwork questionnaire, the Travel Insurance application form, the risk assessment (see Appendix XVIII), and the relevant Research Ethics forms (described more fully in Appendix XI). Students must consult the University's Occupational Health Centre (www.admin.ox.ac.uk/uohs/at-work/travel/) well in advance of travel, on immunisation and other medical precautions.

It is well worth thinking through in detail what sorts of information need to be gathered, and to do this prior to arrival in the fieldwork country, where the excitement and specifics of the activities make it harder to keep the big research picture in perspective. The two sorts of error to avoid are (a) wasting time on gathering information that you really don't need for the thesis and (b) failing to gather some of the information that you really do need. These errors may seem too obvious to be worth mentioning, but both are often made (not only by doctoral students!). The way to avoid them is to think ahead to the chapters you will write after you return: what will be their structures and arguments, and hence what material will you need to flesh out the structures and to support the

arguments? For example, if quantitative data are involved, it can be helpful to design blank tables in advance, and to focus the fieldwork on collecting the numbers to fill them in.

Fieldwork and related travel can be expensive, but help may be available from various sources in Oxford (in addition to the funding sources reviewed in Appendix X). Many colleges have funds for travel. On scholarships for research in the relevant regions, contact the Asian Studies Centre, African Studies Centre and Latin American Studies Centre at St Antony's College. ODID offers a departmental travel grant for those who are *not funded by ESRC*, the George Peters and ODS travel bursaries (consult Dominique Attala). The economics and politics departments have relevant funds (Norman Chester, Cyril Foster, George Webb Medley). Those taking a historical approach to Commonwealth countries may try the Beit Fund. The Sub-Faculty of South and Inner Asian Studies at the Faculty of Oriental Studies occasionally supports research in South Asia. The Frere Exhibition for Indian Studies awards prizes for outstanding essays, which might finance fieldwork.

Please make sure that you keep in regular contact with your supervisor (every two to three weeks). This is particularly important for those who are on a student visa.

3.4.2 About confirmation of status

The process of confirmation of status is one of the best features of the Oxford system. Although at first sight it may seem just another bureaucratic hurdle, it is enormously helpful to students. Its purpose is to provide an independent (of the supervisor) mid-course review of work on the thesis. This greatly reduces the possibility of nasty surprises when the thesis is eventually examined, and provides authoritative comments and suggestions on problems and how to address them. Many of the problems detected by confirmation assessments are with exposition – good material being presented in an unclear or confusing way – but sometimes important problems of substance are picked up, for example on the use of concepts or methods. Even if the thesis is basically in good shape, the comments of the confirmation assessors often stimulate valuable improvements.

These benefits are accompanied by some costs. For a start, receiving critical comments on one's work is always initially painful – for professors as well as doctoral students – and it can take weeks to come to terms with them. The confirmation assessment is also a formal test, which it is possible to fail (more on this below). Finally, the assessment has to be done by a certain time, and is deliberately used by Oxford University in general and the ODID GSC in particular as a device to ensure that students make acceptably rapid progress with their theses.

PRS entrants must confirm status by the end of their ninth term after arrival in Oxford, and entrants from the M.Phil. by the end of their eleventh term. Students can apply for deferral of confirmation, but are discouraged from doing so: only in exceptional circumstances and for good reasons will the ODID GSC agree to a deferral, and then usually for one term at a time, for a maximum of three terms as long as the total number of terms from admission does not exceed twelve. To apply for a deferral use GSO.14b: submit with it an outline of the thesis and the proposed timetable from the date of application to completion of the thesis. The form must be submitted by or before the milestone deadline date.

It is important to apply for confirmation of status well before the intended final thesis submission date – at the very least six months ahead, and preferably nine months to a year ahead. To wait until close to the date of final submission is to throw away most of the potential gains from the process described above, since there is then not enough time to take substantial comments from the assessors into account in finalising the thesis for examination. Please remember that the assessment process takes time – the comments of the assessors are unlikely to be received before six to eight weeks (and sometimes longer) after the submission of the draft chapters – and that the assessors may ask for major revisions, which can seriously disrupt the timetable for completion of the thesis if submission for confirmation has been left too late.

3.4.3 Assessment for confirmation

The rules of the confirmation process are laid out in the *Examination Regulations*. For the purposes of this process, you need to submit the following:

(i) for the consideration of the ODID GSC, a completed confirmation of status form GSO.14 and ODID.2. On the ODID.2 form, the supervisor will suggest the name of two assessors: these should normally be academics working in the University of Oxford (only exceptionally will an external assessor be appointed); accompanying the completed form must be a statement of progress and a timetable for completion of the thesis. Both forms should be signed by you and your supervisor and the GSO.14 should also be signed by your college Senior Tutor before they are submitted to Dominique Attala by **Friday of 1st Week** of the milestone term.

and for the consideration of the assessors:

(ii) a comprehensive account of the treatment of the thesis topic (up to 3000 words, in 1.5 or double spacing), together with (a) the thesis title and chapter plan, (b) a statement of progress to date, and (c) a timetable for completion of the thesis (b and c are the same as attached to the form);

(iii) a substantial part – between 15,000 and 20,000 words – of the draft thesis (in 1.5 or double spacing). This is usually two chapters, but it can be just one chapter or parts of two or more chapters – whatever you think provides a representative sample of the thesis. But it must be ‘core’ and original material, based on the writing up of fieldwork or other research. It should not include review of literature or of theory, nor description of methodology. Nor should it include any large part of the transfer of status paper (in the case of PRS entrants) or of the M.Phil. thesis (in the case of entrants from the M.Phil.). For these whose main contribution lies in the development of theory, it can include a chapter on theory but this has to be original work rather than a review of theory. If you submit more than 20,000 words of material (see section 3.1.5 on the rules for word counts), the Graduate Studies Administrator will return it to you for shortening. However, the assessors are entitled, if they wish, to ask for supplementary material.

Items (ii) and (iii) should be submitted to Mary Smith, the Graduate Student Administrator at the Social Sciences Divisional Office by **Friday of 2nd Week** of the milestone term.

In planning what material to submit, bear in mind what the assessors are asked to do by the GSC, which is to judge whether, if three to five times as much material of this quality were submitted, it would be awarded a D.Phil. by the final examiners. As explained in section 3.5.3 below, a thesis needs to pass on two criteria: making a significant and substantial contribution to knowledge, and being presented in a lucid and scholarly manner. The assessors will thus apply both these criteria to the material presented for confirmation: you should be alert to them in preparing your submission. In terms of substance, ensure that your 3,000-word overview explains how the thesis will contribute to knowledge and how the 20,000-word sample fits into its structure. In terms of presentation, ensure that both items are really well written – at the standard you are aiming for in the final thesis.

The process can be initiated at any time before the milestone deadline date, but should be in progress by **1st Week** of the milestone term. Formally, the assessors are appointed by the ODID GSC, which meets *only* twice per term, but it has delegated this power to the DDR (who can consult other members of the Committee as necessary). To ensure that the assessment happens reasonably soon after the materials are submitted, it is desirable to appoint the assessors in advance. To assist this, item (i) can be submitted up to four weeks ahead of items (ii) and (iii) as long as all items are submitted by or before **1st Week** of the milestone term. *You should note that academic staff tend to leave Oxford during the breaks between the three terms so you should make sure you submit your forms on time. This is especially the case during the Christmas break between Michaelmas and Hilary and the long summer vacation between Trinity and Michaelmas which is the academics’ research time.* It is also often helpful for the supervisor informally to check that the proposed

assessors are available, before putting their names on the form, and to tell them when the chapters will be submitted (so that they can fit the assessment into their future plans).

The assessors then review the chapters and interview the student (it is not necessary to wear *sub fusc* for this interview, but you should be smartly dressed). After the interview the assessors write a report to the GSC, containing a recommendation and other comments, on the basis of which the Committee decides whether or not to confirm D.Phil. status.

If the Committee does not approve confirmation, it will usually ask the student to resubmit the application with revised or additional written work or other appropriate evidence within the usual time limit or if necessary with an extension (or an additional extension, if one has already been granted) of one term. Only one resubmission is allowed. A second meeting may be scheduled. . *You should include a statement explaining how you have responded to the comments of your assessors in your resubmission.*

Alternatively, or if, after resubmission, the GSC still feels unable to approve confirmation of status, it has two options. It may offer a transfer to the M.Litt. – a less demanding and quicker research degree (Appendix XVI). Or it may advise the student to withdraw from the course, in which case the student will be removed from the Register of Graduate Students.

A substantial minority of applicants for confirmation are asked to resubmit. If you find yourself in this position, you will initially be deeply disappointed, especially if the comments of the assessors are highly critical. In retrospect, most people who are asked to resubmit come to see this as helpful – having given them an opportunity and incentive to make substantial improvements to the thesis and to avoid the risk of a much more costly and time-consuming referral of the final thesis. But it is normal for people to take some time to get over the initial disappointment.

The GSC's final decision on the assessors' recommendation for confirmation of status must be complete before the start of the next term.

3.5 FROM CONFIRMATION TO COMPLETION

This third and final stage of work, following confirmation of status, will normally take between nine months and one year (and normally not less than three months). During it, students draft any further chapters based on their fieldwork and any other chapters needed for the complete thesis – which usually also includes material from the transfer paper or (for entrants from the M.Phil.) from the M.Phil. thesis. In this way, they put together a draft of the complete thesis, on which their supervisors provide comments. The thesis is then revised, finalised and submitted for examination.

During this stage, careful planning of work is particularly important. A lot of things have to be done in a fairly short time, so it helps to have a written-out (but evolving) plan of what these are, in what sequence they need to be done, and by when they will need to be completed. Supervisors should be involved in preparing these plans, since this stage of the work makes heavy demands on their time, which will need to be fitted in around their other commitments and travel plans.

3.5.1 Time limit

University rules require D.Phil. students to submit their theses within twelve terms of their admission date. In the case of PRS entrants, this means the date at which they started as PRS. In the case of entrants from the M.Phil., it means the date at which they transferred to the D.Phil. programme (which in theory, anomalously, gives them longer to complete their studies than PRS entrants).

Within the framework of the Oxford rules, the time targets that ODID expects D.Phil. students to meet are the normal ones for doctorates in UK universities (three years, after a one-year master's degree; or two years, after a two-year master's degree), but extended to allow for the fact that in development studies, as in some other social sciences, research data usually need to be collected through fieldwork (rather than, for example, being taken from published statistics).

Even with fieldwork, it is still possible to complete in three or two years, and some students have done so, but the usual target to aim for should be the normal length of time plus the time spent in the field, which typically adds between six months and a year. Thus PRS entrants should plan to complete within four years, and M.Phil. entrants within three years.

The ODID time targets are within the time limits set by the University, but if progress is delayed by problems in the research, students can apply to the GSC for an extension of time beyond the twelve-term limit by sending form GSO.15 to the Graduate Studies Administrator. The GSC is reluctant to grant extensions, and will do so only if the student presents a credible plan for completing the thesis in a specified and fairly short period (in other cases, it will allow the student's status to lapse with the possibility of applying for reinstatement later, as explained in another section). The maximum extension for a D.Phil. student is six terms (and three for the M.Litt.), but the GSC will normally allow an initial extension of only up to three terms and will require increasingly persuasive reasons for any further extensions. Extensions are agreed for one term at a time, unless a good reason is given for two. They are not normally permitted at the PRS stage.

3.5.2 Length limit

A thesis can be up to 100,000 words long (see section 3.1.5 on the rules for word counts). This is a maximum, not a norm or a target, and many excellent theses are considerably shorter. Students may, exceptionally, apply to the GSC for an extension of the word limit, with support from their supervisors (for example, where it is essential to annex extensive transcripts or other primary data). The maximum extension is a 10,000 word appendix. In such cases, if the extension is approved, examiners will be advised that this appended material does not need to be read closely.

More generally, doctoral students can save themselves literally months of time by thinking ahead about the overall length of their thesis and the number and length of its constituent chapters, and keeping these to the minima needed for a thesis of D.Phil. standard. Drafts are often longer than final versions, and editing them down can substantially improve their quality. But it is easy to make the mistake of drafting too many, and too long, chapters and then at a late stage being forced to discard a lot of material because of the length limit. Research on any subject can be expanded almost indefinitely, and only a certain amount can be fitted into one thesis, so make deliberate decisions to leave some aspects of your topic for a later time or for other researchers.

3.5.3 Thesis presentation

Examiners must judge a thesis both on its substance (does it make a 'significant and substantial contribution' to knowledge?) and on its form (is it presented in a 'lucid and scholarly' manner?). It is beyond the scope of this guide to advise on substance, which varies greatly from one thesis to another, but some basic points of form are common to all theses. These points also matter a lot: even if the substance of a thesis is excellent, the examiners will not pass it – they are required to send it back for revision and resubmission – if it is poorly presented.

The University's rules on presentation are in *Examination Regulations*, and more guidance is provided in the note: GSO.20a (*Notes of guidance for research examinations*), available at www.ox.ac.uk/students/academic/guidance/graduate/progression. The basics include:

- page margin 1.25 - 1.5 inches (32-38mm) on left side (to allow space for binding)
- double spacing (at least 0.33 inches or 8 mm between lines)
- footnotes single-spaced and at bottom of relevant pages
- A4 paper, pages numbered and a word count provided
- title page in standard format (see Appendix XIV)
- declaration of authorship after title page (see Appendix XIV)
- abstract of no more than 300 words

It is permitted to print on both sides of the page, but most examiners find it easier to read one-sided theses. It is also advisable, unless you actively want to irritate your examiners, to use a reasonable

font size – at least 11-point, and for preference 12-point – for the text (and for tables and figures), though a somewhat smaller font (10-point) is customary and acceptable for footnotes.

Students who developed an M.Phil. thesis into a D.Phil. thesis must also include a statement to this effect (usually in the introductory chapter), indicating how the D.Phil. thesis relates to the M.Phil. thesis and is different from it.

Another obvious requirement is a standard system of referencing work cited. There are several to choose from but, whichever is chosen, it must be applied with care and consistency. Check that every work cited in the text is included in the list of references: not only is this good scholarship, but examiners often look up things as they are reading the thesis and hate missing references.

Proof-read the thesis thoroughly (it has been known for candidates to mis-spell their own names on title pages). This is your responsibility, and your supervisor is under no obligation to do it for you. It matters, too. Small mistakes, especially if numerous, arouse doubts in the minds of examiners about the accuracy and reliability of more basic aspects of the research. Ensure the accuracy of quotations, correct spelling of authors' names and correct years of publication (the examiners are likely to know the literature well). In checking for typos, watch out for the headings (which often get overlooked in scrutinising text). It can also be helpful, in order to force yourself to go slowly, to cover each page with a piece of paper and gradually move it down as you read.

The presentation of the first twenty or thirty pages of the thesis is of particular importance, because reading them will determine the examiners' initial impressions of the thesis and their attitude to all the rest of it. The absence of typos, a nicely laid-out table of contents and a well written abstract can all help in this regard. The introductory chapter is also critical. Remember in drafting it that, although you are familiar with the entire thesis, for the examiners this really is an introduction, so you need (a) to tell them what is in it and (b) to make them to want to read it (which will depend as much on the clarity with which you write as on the interest of the subject). The introduction should include:

- an explanation of the thesis topic, and the reasons for choosing it
- a statement of the main questions that the thesis seeks to answer
- existing views and how your thesis confirms or challenges them
- an overview of the theories, sources and research methods used
- a summary of the contribution that the thesis makes to knowledge
- and a description of how the rest of the thesis is structured

If statistical material is included in the thesis, take care to present it in a clear and accessible way. Keep tables small (minimise the number of numbers in them, including unnecessary detail after the decimal point), and invest time in making titles and headings unambiguous but concise.

Footnotes are essential, but should not be abused. Keep the number of footnotes to a minimum and allocate material correctly between text and footnotes. To achieve this, in the course of finalising your thesis, ask yourself the following two questions about every footnote. Should this material be in the text (for example, if it makes an important point or if it is simply a three-word citation that belongs in brackets)? Should this material be deleted (because it is trivial)?

Last but by no means least, write clearly and readably. Some people naturally write better than others, but work that is easy to read was usually not easy to write. Style can be learned, and well-written output typically reflects hard work, self-criticism and repeated revision. Reading aloud can be a good way of checking the quality of writing – does it sound clear, concise and correct? Some basics are:

- logical sequencing of words, clauses and sentences
- short sentences, pruned of surplus words and phrases
- short paragraphs (no more than 12 lines: split longer ones)
- well-worded sub-headings used as sign-posts for readers
- correct grammar and punctuation

Try to see what you are writing through the eyes of your readers. Consider the works of your proposed examiners and reference them in your thesis where pertinent. Think about what they need to know and the clearest way in which to explain it. Anticipate problems or questions: for example, if there is an obvious objection to a point you are making, then acknowledge it and deal with it.

3.5.4 Submission for examination

For information on the exam process, start by going to www.ox.ac.uk/students/academic/guidance/graduate/progression and click on 'Notes of guidance for research examinations'. On that page, take a careful look at the flowchart obtainable by clicking on 'research degree examination process' as well as at the information on the various relevant forms and how to use them. What follows in this guide is a summary, not a substitute for reading Oxford's official instructions!

To initiate the process, students apply for appointment of examiners on form GSO.3, to be sent to the ODID Graduate Studies Administrator. The form includes a section in which you can ask for a minor change in the title of the thesis (which used to require the separate submission of form GSO.6). This can be done at any time during the term in which (or in the vacation following) you will submit your thesis. Examiners are appointed by the ODID GSC, which meets only twice per term, but can act on applications by correspondence if it is a long time until the next meeting. To ensure that the examination is reasonably soon after the thesis is submitted, the form should be submitted ahead of the thesis – though the date by which the thesis will be submitted must be stated on the form. In such cases, the form should be accompanied by two copies of an abstract of up to 300 words, which should summarise the scope and principal arguments of the thesis.

The thesis itself – two copies – must be submitted to the Research Degree Examination Office in the Examination Schools. Each copy of the thesis should be accompanied by a copy of the abstract, and must be in an unsealed, padded envelope, on which should be written the student's name and college and, in the bottom left-hand corner in block capitals, the words "D.PHIL. THESIS AND ABSTRACT". The thesis should be securely bound in hard or soft covers (loose-leaf binding is not acceptable). Soft covers, which are less expensive, are probably more sensible at this stage. The student should keep a third copy for preparing for (and using in) the viva. Each copy of the thesis should be accompanied also by a note indicating how, when and where the student can be contacted by the examiners to fix the date of the viva, and any dates that would not be possible. It is possible to add acknowledgements in the copies that go to the examiners; this can be updated to include the examiners when you submit your Bodleian copy.

Supervisors are asked to suggest on the form the names of at least two internal examiners (from Oxford University) and two external examiners, from which the GSC will choose one of each, and to check that the student has no reasonable objection to any of the names proposed. The supervisor should informally check with the four proposed examiners that in principle they would be willing to act and indicate this on the form. Neither examiner can be the student's supervisor, nor can an examiner be someone who has given significant help or advice to the student in the preparation of the thesis or has a connection to the student that might make it hard for them to be impartial. The internal examiner might also have been the assessor for confirmation of status (a case would be made to, and accepted by, the ODID GSC). Examiners should normally be based in, or visiting, the UK or Europe.

Candidates who wish to submit during Trinity Term and have to leave the UK during the Summer Vacation should bear in mind that potential examiners often have heavy examining commitments in June and July and are then away from Oxford over the summer. Applying early for appointment of examiners and submitting the thesis on the promised date are necessary conditions for the exam to be undertaken in the summer. But they are not sufficient conditions: the exam may have to wait until the following Michaelmas Term.

Please be aware that Oxford regulations strictly prohibit students from directly contacting their examiners, either before or after the viva. Any violation of this prohibition must be referred to the Proctors, and the resulting investigation causes delay. The only exception is correspondence to agree on the date of the viva – but this correspondence must be initiated by the examiner, not by you. If you do not hear from the internal examiner about the date of the viva within a month of being

formally notified by the Exam Schools about the names of your examiners, you should get in touch with the Exam Schools, who will contact the internal examiner. *You must not send your thesis directly to the examiners* but, as explained above, to the Exam Schools.

3.5.5 Examination and after

In order to be able to recommend the award of a D.Phil., the examiners must be satisfied that:

- the student possesses a good general knowledge of the particular field of learning within which the subject of the thesis falls
- the student has made a significant and substantial contribution in the particular field of learning
- the thesis is presented in a lucid and scholarly manner
- the student has presented a satisfactory abstract of the thesis

In their assessment of the substantial significance of the thesis, examiners are required to bear in mind the duration of study: whether the thesis is what might reasonably be expected of a capable and diligent student after three or at most four years of full-time study.

The examiners base this assessment largely on their reading of the thesis, but also, and sometimes importantly (particularly if they have reservations or large questions about the thesis) on their oral examination (viva) of the student. An oral examination also gives them an opportunity to test the student's general knowledge of the field of the thesis, so their questions need not all be on the thesis itself. The viva is obligatory and normally has to be held in Oxford. It is rarely less than two hours in length, and sometimes much longer. Academic dress (*sub-fusc*) must be worn.

After the viva, the examiners must decide on their recommendation to the ODID GSC, which is the formal decision-making body. They have a range of options, set out fully in the *Examination Regulations*, of which the main ones are:

- award of the D.Phil., with no revisions
- award of the D.Phil., subject to minor revisions to be approved by them
- award of the D.Phil., subject to major revisions to be approved by them
- resubmission and re-examination of a revised version of the thesis
- award of the M.Litt. (a less demanding research degree)
- outright failure (no degree and no request to resubmit)

Minor revisions must be completed and approved by the examiners within one month of receipt of the list of required changes. This can be extended by special permission by one further month only.

Major revisions must be completed and approved by the examiners within six months of receipt of the list of required changes. The proposed recommendation for major revisions must be agreed by the Graduate Studies Committee. No extensions are allowed. Further information can be found in the [Examination Regulations](#). On completion of major corrections, the examiners may recommend that:

- award of the D.Phil., with no further revisions
- award of the D.Phil., subject to minor revisions to be approved by them
- award of the D.Phil., subject to major revisions to be approved by them

The last of these requires a further viva to be held.

An important part of preparing for the viva is to read through your thesis, especially if it has been a while since you submitted: it can be embarrassing if your examiners, who will just have read the thesis, are more familiar with your work than you are! It is also worth reading or re-reading some recent or related publications of the examiners, to familiarise yourself with their approach to the subject and to help you anticipate some of their questions and comments. Remember that you may be asked questions that are about the general subject area, too, and not just about the thesis, so spend a little time reviewing, for example, relevant lecture notes or texts.

You are bound to be nervous, but the examiners will usually try to help you relax by starting with some general questions – for example, how you came to be interested in this field of study or how your research on it evolved. Use this early part of the viva to build a relationship with them, but bear in mind that harder questions may be coming later. Throughout, be open and honest: if you agree that the examiners have detected an error, admit it; but if (and so long as) you disagree with them, then defend your position politely but firmly. They will respect you for arguing with them, if you do so in a reasoned and civil way. If they make helpful suggestions, thank them.

At the end of the viva, the examiners may ask you to leave the room for a few minutes, during which they will consider how they wish to proceed, and then invite you back. Oxford regulations prohibit examiners from telling candidates what their recommendation will be, but if they want you to make minor revisions, they may outline and explain these orally to you. You will also get later a written statement of the changes you need to make, but if the examiners choose to mention these in the viva, you should feel free to ask for clarification about what you are being asked to revise, and why – which will help you in making the revisions.

The examiners write a report to the GSC which must comment on the scope, character and quality of the work submitted. It also usually comments on the student's performance in the viva. If they asked for minor corrections, the examiners might wait to receive and approve these before sending their report to the GSC. In the case of other recommendations, they send their report immediately.

3.5.6 Leave to supplicate and submission of library copy

When the GSC has accepted the recommendation of the examiners that you should be allowed leave to supplicate for (i.e. be awarded) the degree, a copy of the final thesis must be received by the Research Degrees Examination Office for deposit in the Bodleian Library (incorporating the corrections, if any were required). The library copy must be in a permanently fixed binding, drilled and sewn, in a stiff board case in library buckram, in a dark colour, and lettered on the spine with your surname and initials, the degree, and the year of submission. There is no need to submit another declaration of authorship with this library copy. This hard copy should be submitted to RDEO in Examination Schools – the same place you submitted your copies for examination. You will also be required to upload an electronic copy of the thesis (see Appendix IV for further information and websites). The hard copy and the digital copy of your thesis should be submitted two weeks before your graduation ceremony.

You will not be allowed to graduate and take your degree until this library copy has been received in both formats.

3.5.7 What to do if your thesis is referred

A significant minority of candidates are asked to revise their theses and resubmit them for further examination (usually described as 'referral') – which should not be confused with being asked to make minor or major corrections. This is always deeply disappointing for the student concerned, and the strong emotions aroused by referral make it particularly important to plan your next steps carefully and coolly, with advice both from your supervisor and from the DDR (who may consult the GSC).

The most important thing is to establish as clearly and precisely as possible what revisions are required by the examiners. You neither want to miss any of them in revising the thesis, nor to waste time on making revisions that were not required. The report of the examiners, which will be given to you, will obviously contain a lot of relevant information. However, your supervisor (but not you) is allowed to contact the internal examiner to seek clarification of the report.

One often effective way of 'seeking clarification' is for you, in consultation with your supervisor, to prepare a revision plan that sets out, chapter by chapter (and if appropriate, section by section) the changes you propose to make to the thesis in response to the comments of the examiners. This plan can then be shown by your supervisor to the internal examiner, who can (though is not obliged to) say

whether or not the proposed revisions are consistent with what was meant in the examiners' report. The examiners cannot say, however, that if these revisions are made, then the thesis will pass: that is a matter on which they can come to a judgment only after receiving and reading the revised thesis.

When you have the clearest possible understanding of what revisions are required, you should draw up an implementation plan and timetable for making them, again in consultation with your supervisor. You will automatically be given a substantial extension of time as a registered student for making the revisions.

This and other relevant administrative information will come to you in the form of a letter from the Research Degrees Examination Office. And take heart: although the referral is disconcerting and the revisions hard work, most referred theses pass when they are re-submitted.

A report should be included with the resubmitted thesis which should be not more than 1,000 words and should explain the changes which have been made.

3.6 EXTENSION, SUSPENSION AND LAPSE OF STATUS

For a variety of reasons, students sometimes need to extend or interrupt their courses of study or to abandon them altogether. Formally, this involves either extension, suspension of status or lapse of status.

3.6.1 Definition of extension and suspension

Extensions of Time

A doctoral student ordinarily has a maximum of twelve terms to complete the doctorate. An extension of time allows the student to continue to study actively with full student status and access to all University and College facilities.

Requests for extensions of time are made on GSO.15 which should be submitted to the Graduate Studies Administrator. Extensions of time will only be granted one term at a time, unless there is an exceptional reason for granting more, but in no case will more than three terms of extension be granted at any one time. All GSO.15 applications should include a timetable with detailed plans for completion of the thesis agreed in consultation with the supervisor. This will allow the DDR and GSC to assess progress and how realistic the student's plans are, and could also be referred back to, if a further extension request is submitted.

(i) PRS Status

If, in exceptional circumstances, a student has to attempt Transfer of Status in his/her fourth rather than third term of PRS status, s/he is automatically granted a one term of extension of PRS status to make a second (and normally final attempt) to Transfer if the first attempt fails. This extension to PRS status does not affect the overall amount of time permitted for the doctorate. In exceptional cases, if a student has not been able to attempt Transfer of Status within the four terms of PRS status, an application for extension of PRS status may be submitted, subject to approval by the supervisor(s), College, DDR/GSC, and the University Education Committee as this requires dispensation from the Examination Regulations. Again this extension to PRS status does not affect the total amount of time permitted to complete the doctorate, and should only be used in exceptional circumstances.

(ii) D.Phil. Status

A doctoral student is permitted by Regulations to apply for a maximum of six terms of extension after completion of the normal twelve terms permitted for the doctorate. These six terms are independent of any extensions granted to PRS status. These extensions of time require the approval of the supervisor(s), College, and GSC. In exceptional circumstances, further terms of extension maybe requested beyond the permitted six terms. However, these would require the additional approval of the University Education Committee.

(iii) M.Litt. Status

An M.Litt. student is permitted to apply for a maximum of three terms of extension after completion of the normal nine terms permitted for the degree. These extensions of time require the approval of the supervisor(s), College, and GSC. In exceptional circumstances, further terms of extension may be requested beyond the permitted six terms. However, these would require the additional approval of the University Education Committee.

(iv) Reinstatement

If a student has not previously used all of his/her terms of extension but does not apply to extend his/her status and instead allows his/her student status to lapse, then s/he can apply at a later date for reinstatement to the Register, and this requires the approval of the supervisor(s), College, and DDR/GSC. If a student has used all allowable terms of extension and has subsequently had his/her student status lapsed, s/he may apply for reinstatement for one term only in which to submit his/her thesis. This requires the approval of the supervisor(s), College, DGS/GSC and the University Education Committee.

Suspensions of Time

A doctoral student may apply for a maximum of six terms of suspension of time, and this requires the support of the supervisor(s), College and the DGS/GSC. Suspension of status' can be granted for not less than one and not more than three terms at any one time. The ODID GSC will not allow more than six terms of suspension in total for any student. After the first three terms of suspension have been taken, the GSC will normally only grant further terms' of suspension, one term at a time.

In exceptional cases, additional terms may be requested, but these need the additional approval of the University's Education Committee as dispensation from the Examination Regulations is required. Suspension of status is normally granted where the student is not able to study actively. This can be due to a variety of reasons, but the most common is on health-related/personal grounds.. Other less common reasons include taking paid employment, taking a degree at another institution or other financial-related reasons. Suspensions are not required while a student is undertaking fieldwork away from Oxford or taking part in an internship as part of their studies (though an application for dispensation from residence for the latter may be needed). When a student suspends, the clock stops, and the student returns from suspension at the point when they departed. Normally students do not have access to University/College facilities (including libraries) whilst suspended as it is assumed they are not studying (though e-mail access is commonly retained to allow the student to keep in touch with his/her supervisor(s) etc). Suspension of status can only be granted while a student still has status available to return to, i.e. a student cannot suspend status after his/her 12th term of the doctorate unless s/he has also had an extension of time granted.

Women students who give birth during their period of registration are automatically entitled to suspend their studies for up to three terms (one calendar year) of maternity leave. This maternity leave is considered separately from the six terms of suspension normally allowed. The policy on parental leave is available from the Student Gateway.

Students submit form GSO.17 to the Graduate Studies Administrator, with supporting comments from their supervisor(s) and College. (ESRC-funded students must send their forms to the ESRC Studentship Officer in the Social Sciences Division.)

If the application is approved, students need not pay fees during the period of suspension and they automatically resume their former status (and any remaining fee liability) at the end of the period.

Those who hold a Research Council award (or other scholarship), should check with their funder, who would also have to give approval for suspension. Normally a separate application must be made by the student to the funding body in parallel to that being made within the University.

For students who are well past the original number of terms for the course concerned (twelve for D.Phil., nine for M.Sc. by Research and M.Litt.), the GSC will consider whether letting the student's status lapse, and allowing reinstatement when the thesis is ready for submission, is not a more appropriate option.

3.6.2 Lapse of status, withdrawal and reinstatement

‘Lapse of status’ means that a student ceases to be registered on the University’s books, and does not have the right automatically to resume status after a period of absence (unlike suspension of status, during which students’ names remain on the register and they can automatically resume their status after the agreed period of suspension). A student whose status has lapsed may be able to apply for reinstatement, as explained below, but this will not necessarily be granted.

Lapse of status may occur because a student voluntarily withdraws from the course (without being granted a suspension of status), or because a student fails to conform to degree regulations or meet course requirements. This may arise from outright failure at some stage (for example, not passing an examined course even after a re-sit). It may also arise from failure to meet the prescribed time limits (including any approved extensions) for transfer or confirmation of status or for final submission and examination of the thesis.

If the lapse is due to voluntary withdrawal or failure to meet time limits, students can apply for reinstatement of status if and when they wish to resume their studies and/or to submit their thesis or other work whose non-submission caused the lapse. Reinstatement is not automatic: it requires convincing evidence to be provided that a student returning after withdrawal would be able to complete the course and/or that substantial progress had been made with relevant written work.

Applications to the GSC for reinstatement are made on form GSO.23, which should be sent to the Divisional Graduate Studies Administrator. They require the support of the student’s college and former supervisor(s). Where the former supervisor is no longer available, the GSC will appoint an assessor to evaluate the appropriateness of reinstatement, and, if the assessment is satisfactory, seek a new supervisor. Where the lapse was caused by failure to submit written work on time, reinstatement is usually for one term only and the student must submit the thesis, or other work within that term (and in the case of transfer or confirmation of status, complete the process within the same term). Any outstanding fee liability resumes upon reinstatement.

3.6.3 Examination regulations students requiring adjustments on grounds of ill health or disability

The *Examination Regulations* include information for students who are taken ill or require special arrangements for examinations. If you are prevented from taking an examination because of illness, your college will be able to contact the Proctors on your behalf. Please refer to the on-line version for the most up-to-date regulations: www.admin.ox.ac.uk/examregs/2015-16/rftcoue-p13fapianexam/

In cases where alternative arrangements need to be made for a student to take an examination, the regulations can be found in the *Examination Regulations*: www.admin.ox.ac.uk/examregs/2015-16/rftcoue-p12cwsexamneed/

Information on the standards of conduct expected in examinations and what to do if you would like examiners to be aware of any factors that may have affected your performance before or during an examination (such as illness, accident or bereavement) are available on the Oxford Students website: www.ox.ac.uk/students/academic/exams/guidance

3.7 ACADEMIC DRESS (OR SUB FUSC)

There are various occasions at which academic dress, known as *sub fusc* is required and others where just a gown is worn. If you are taking an examination, you will need to wear *sub fusc*, however, as mentioned earlier, we do not require this for transfer of status or confirmation of status meetings. To find out what to wear and when, please see the *Regulations relating to Academic Dress* on the website: www.admin.ox.ac.uk/statutes/regulations/48-012.shtml

4. SUMMARY OF GSO FORMS

The following forms issued by the Graduate Office are relevant to ODID doctoral students, and can be downloaded from www.ox.ac.uk/students/academic/guidance/graduate/progression

GSO.2	Application for Transfer of Status: To be used for transfer from PRS to M.Litt or D.Phil. status; for transfer from M.Litt to D.Phil. status or for transfer from D.Phil. to M.Litt status	GSO.3	Application for Appointment of Examiners for D.Phil. or M.Litt
ODID.1	Additional form to be submitted with GSO.2 on which names of Assessors are entered		
GSO.14	Application for Confirmation of D.Phil. Status	GSO.3a	Deposit and Consultation of an M.Litt or D.Phil. Thesis. This should be submitted to the Examination Schools with the library copy of an M.Litt or D.Phil. thesis and is required before a thesis can be deposited in the Bodleian
ODID.2	Additional form to be submitted with GSO.14 on which names of Assessors are entered		
GSO.14b	Application for Deferral of Confirmation of D.Phil. status	GSO.20a	Notes of guidance for research examinations
GSO.6	Application for Change of Thesis Title (M.Litt or D.Phil.)	GSO.25	Change of Supervisor or Appointment of Joint Supervisor(s)
GSO.8	Dispensation from Statutory Residence	GSO.23	Reinstatement to the Register of Graduate Students
GSO.15	Application for Extension of Time	GSO.26	Information for thesis cataloguing (to be submitted to the Examination Schools)
GSO.16	Application for an Early Viva	GSO.28	Change of programme of study
GSO.17	Suspension of Status	GSO.29	Notification of withdrawal from programme of study
GSO.17a	Return from suspension	GSO.30	Notification of change of personal details
GSO.17b	Suspension of status for maternity, extended paternity and adoption leave		
GSO.18	Application for Extension of Time to Complete Minor or Major Corrections		

APPENDIX I: DIVISIONAL NOTES ON RESEARCHER DEVELOPMENT

1. Your Development as a Researcher

As a doctoral student at Oxford you will need to combine detailed subject knowledge with training in relevant quantitative and qualitative research methods and techniques, as well as general research management skills, professional knowledge and career development. This combination of skills, knowledge and training is intended to help your research and also to enhance your personal and professional development and employability.

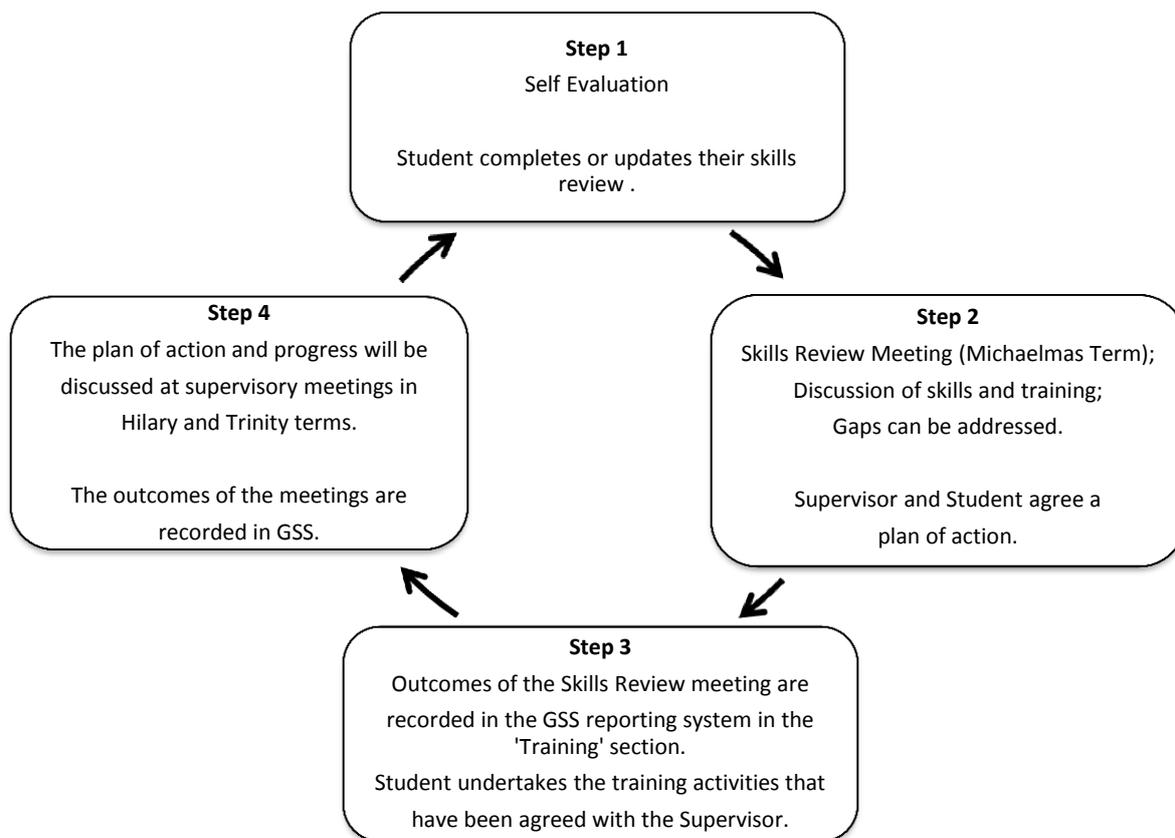
You will have access to a wide range of training whilst undertaking your research, including:

- Research methods training within your department and other departments as appropriate
- Research and skills training coordinated by the Social Sciences Division open to all doctoral students
- Training offered by University providers such as the Careers Service, IT Services and Bodleian Library
-

2. Skills Review

As a doctoral student, you will have the opportunity to engage with a variety of research and skills training as appropriate to different stages of your graduate career. During your time as a research student, you are encouraged to think strategically about your ongoing development as a researcher and professional, and to take advantage of the variety of training on offer.

As the diagram shows, skills review is an ongoing and iterative process:



Working together, you and your supervisor will develop a bespoke training and development plan each year. This Department has Training Needs Analysis (TNA) form which can be downloaded from the D.Phil Weblearn page.

You are strongly encouraged to enter comments about your training directly into the relevant free text boxes within GSS on a termly basis. This will allow both you and your supervisor to have a record of your changing training needs and your development over time. You can also upload your review forms to GSS.

3. *Research and Skills Training in the Social Sciences*

Research and Skills in the Social Sciences is a programme of research training and skills development for all social science doctoral students. This includes:

3.1 Research Methods Training

This Department offers research methods training within each of its masters courses. PRS students who feel they may benefit from taking one of these should contact the tutor for the course to arrange attendance. Further information about tutors and courses can be obtained from the Graduate Student Administrator.

In addition you can access specialist and advanced research methods training in other Departments, and across the University. Oxford's participation in the Economic and Social Research Council's Advanced Training Network (www.esrc.ac.uk/funding-and-guidance/postgraduates/advanced-training/index.aspx) gives you access to selected advanced research methods training offered at other UK universities. Further information is available online where you can also browse and search for courses.

3.2 Skills Development Training

To support your broader development as a researcher, the Social Sciences Division organises a skills training programme covering a range of training to help with completing the DPhil and to prepare you for your future career. For more information and to sign up for courses, see the Research and Skills Training website (<http://researchtraining.socsci.ox.ac.uk/>) and the Researcher Training Tool (<https://weblearn.ox.ac.uk/portal/hierarchy/grad/>).

3.3 Other University Services

Oxford offers a wide range of training opportunities and resources for graduate students. In addition to research methods training and the skills development programme there are also University-wide courses and career development opportunities available.

Bodleian Library: The **Bodleian Library** (<http://www.bodleian.ox.ac.uk/bodley>) provides training in information skills and information literacy. Some workshops are offered by the Division; others are offered directly by the Library. The **Careers Service** (<http://www.careers.ox.ac.uk/>) has a range of events and resources for doctoral students. Through its **IT Learning Programme** (<http://www.it.ox.ac.uk/do/training-and-facilities>), **IT Services** (<http://www.it.ox.ac.uk/>) offers a range of computing courses. Several online courses are available, including the **Research Skills Toolkit** (https://weblearn.ox.ac.uk/portal/hierarchy/skills/res_skill_kit) and a **Research Integrity** (<https://weblearn.ox.ac.uk/portal/hierarchy/skills/ricourses>) course for social science researchers. The **Oxford Learning Institute** (OLI) (<http://www.learning.ox.ac.uk/>) has a useful set of resources [supervision](#). The Language centre offers specialist and difficult languages training. Please note that you should discuss attending courses run by the **Language Centre** (<http://www.lang.ox.ac.uk/>) with your supervisor and departmental graduate administrator **BEFORE** signing up for or attending any course.

3.4 Developing Teaching and Learning

As a second or third year doctoral student, you may wish to undertake a *Preparation for Teaching and Learning at Oxford* (PLTO) seminar, which provides an introduction to teaching in higher education. One of the Department's D.Phil. students is appointed Teaching Coordinator and s/he arranges a course in Michaelmas and Trinity terms. S/he will provide information when arrangements have been made. After completing the PLTO course, there are opportunities for teaching on some of the courses offered to the Department's masters' students. The Teaching Coordinator can provide further information.

If you have completed a PLTO seminar and are undertaking some teaching, then you may register for the Oxford *Developing Learning and Teaching* (DLT) programme. This one-term seminar series, available under the auspices of the skills development programme, encourages you to reflect upon and make the most of your first teaching experiences in higher education. If completed in full, it leads to an award that is recognised at universities across the UK: Associate Fellowship of the Higher Education Academy (HEA). The **Teaching Development** website (<https://weblearn.ox.ac.uk/portal/hierarchy/socsci/dtcssd/teaching/page/home>) provides further information on teaching and teaching development within the Social Sciences Division.

4. Finding and Signing-up for Graduate Training

The Research and Skills Training website (<http://researchtraining.socsci.ox.ac.uk/>) lists all of the skills training sessions that are coordinated by the Social Sciences Division. You can also find out about other training-related news and events via the announcements section on this site.

The Researcher Training Tool in WebLearn (<https://weblearn.ox.ac.uk/portal/hierarchy/grad/>) provides a means of browsing and signing up for training within Social Science departments, the divisional skills training programme and other training providers across the University.

APPENDIX II: DIVISIONAL NOTES ON TRANSFER OF STATUS (FIRST MILESTONE)

1. THE PURPOSE OF TRANSFER OF STATUS

The Probationer Research Student (PRS) status is intended to be used constructively, permitting a wise choice of the research topic to be made in the context of broader reading as well as preliminary research, helping the student to become accustomed to the rhythm of graduate work, and allowing for the acquisition of any specific skills appropriate to the research.

The Transfer of Status assessment is to ensure that the student is making satisfactory progress in the development of the research, to ensure that the work is of potential D.Phil. quality, and that the methodology of the research is appropriate and practicable. The transfer process provides the opportunity for the student to discuss their work with two independent members of staff and to receive feedback. Broadly the assessment should show a plan for the thesis, which locates the research in the context of earlier work in the field, sets out the questions, hypotheses or issues on which it will focus, and describes and explains the methods by which these will be answered, tested or addressed.

The assessment procedures are intended to remove the risk of failure and to reduce the risk of referral as far as possible, and must therefore be as rigorous as is necessary to achieve this.

The formal Regulations for Transfer of Status are set out in the general regulations of the *Examination Regulations*, and in the special regulations for individual subjects, grouped within their particular Division. Further information is also available in the Education Committee's 'Policy on Research Degrees' www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees.

Students who have been granted leave to supplicate for the degree of Master of Philosophy, where the subject of the Masters thesis is in the same broad field as the research proposed for the D.Phil., may progress directly to D.Phil. status with the transfer of status assessment waived.

2. THE TIMING OF TRANSFER OF STATUS

The *Examination Regulations* state that PRS status can be held for a maximum of four terms. However, Departments and Faculties are strongly encouraged by the University's Education Committee to require students to transfer status sooner, and in this Department, transfer of status must be achieved before the end of the third term.

3. HOW TO APPLY FOR TRANSFER OF STATUS

(i) Qualifying Examination

All PRS students are expected to do some examined coursework during their first year. Supervised essays or informal attendance at lecture courses do not count. The course may be a paper from the M.Phil. in Development Studies or from a related degree in Oxford (subject to the approval of the Graduate Studies Committee (GSC) both of ODID and of the other department).

(ii) Transfer Presentation

To help the students with their preparation of the transfer, all PRSs are required to do a transfer presentation in 7th or 8th Week of Hilary Term, to which their supervisor will be invited. The presentation will be 15 minutes long followed by 10 minutes Q&As. The presentation should include a clear and focused research question(s), a brief literature review indicating the contribution of the research to the field, the theoretical framework that the study is to build upon, detailed explanations of the research methods, and a time table for the proposed research.

(iii) Transfer of Status Assessment

Applications for transfer of status should be made using the GSO.2 form available from www.ox.ac.uk/students/academic/guidance/graduate/progression. Students are required to complete the form and to provide supplementary information on development of both research specific and personal and professional skills during their time as a Probationer Research Student. Students are also required to indicate whether their work requires research ethics approval. Both the student's supervisor and College should then sign the form. Students in this Department will also be required to complete the supplementary form ODID.1 on which supervisors are asked (in consultation with their student) to suggest names of appropriate assessors.

In addition, students will be required to submit/complete the following:

1. Thesis Title
2. Thesis Outline (up to 500 words, including a list of chapter headings, and some indication of the expected contribution to knowledge)
3. Transfer Paper in two copies (up to 10,000 words excluding appendices)

The complete application for transfer of status should be submitted to Mary Smith, our Graduate Studies Administrator, Social Sciences Division, Hayes House, George Street, Oxford < graduate-studies-1@socsci.ox.ac.uk).

Steps 1 and 2 and the two forms can be submitted up to four weeks ahead of the transfer paper itself and all steps should be done by 6th Week of Trinity Term. The transfer paper can be emailed.

4. THE TRANSFER ASSESSMENT

The *Graduate Studies Committee* will appoint two assessors neither of whom will be the student's supervisor to read the transfer application and to interview the candidate. The assessors will normally be academic staff working in the University of Oxford; only in exceptional circumstances will external assessors be appointed. It is permissible for the same assessor to be used for both transfer and confirmation of status, and this person may also act as the internal examiner for the D.Phil. viva voce examination if they have been assessor for one (but not both) previous assessments. Students should normally expect to be interviewed within six to eight weeks of submitting their transfer application, though this may be longer during the vacation periods due to availability of the assessors. The Transfer assessment is a formal requirement, but the interview is not an official examination or viva, and *sub fusc* is not worn, but students should be smartly dressed (as if for an interview). The assessors will write a report and submit recommendations to the Graduate Studies Committee. Following their interview, students should normally expect to hear the outcome of their assessment within three to four weeks, though this may be longer during the vacation periods.

5. INSTRUCTIONS TO ASSESSORS

Assessors are asked to contact students as soon as reasonably possible to arrange a time for the interview, or to explain problems in doing so. Students can find it an anxious wait, and may have good reasons for wanting the assessment completed as soon as possible. Students should let the Graduate Studies Administrator know if there is a problem in this respect at the time of application.

Assessors are invited to consider whether the student is capable of carrying out advanced research, and that the subject of the thesis and the manner of its treatment proposed by the student are acceptable for transfer to D.Phil. Assessors should judge the application against the criteria for success defined below. They should aim to provide constructive criticism and advice to the student to identify and address deficiencies and thereby strengthen their proposed research project, rather than presenting a judgemental verdict. Dismissive or aggressive remarks are not appropriate. An application to transfer to D.Phil. status must provide evidence that the applicant can construct an argument, can present material in a scholarly manner, has a viable subject to work on, and can be reasonably expected to complete it in three to four years. However, the assessors should judge the submissions in the light of the fact that they usually reflect three terms' work and are made at the early stages of the research project. The written work will not necessarily be, or read like, a final thesis. Omissions, unpersuasive arguments, or missing perspectives are not fatal unless they seem to indicate an inability to reach the necessary standard. The research proposal and thesis structure need not be completely finalised, but the student should have clearly defined ideas of what the research questions are, and have possible ways to answer them.

The joint assessors' report should be one to two pages in length, providing a permanent record of advice given to the student at this stage and an indication of the student's progress. It should normally include a summary of the points raised in the interview, feedback on the written work submitted prior to the interview, comments on the positive aspects of the student's work, as well as any concerns about the student's progress and suggestions for the research going forward. Finally, for non-native English speakers, the report should indicate the assessors' view of the student's ability to present and defend the work in English.

Significant differences of opinion between the assessors will be adjudicated by the DGS and/or Graduate Studies Committee, in consultation with the assessors and supervisors.

6. CRITERIA FOR SUCCESS

For transfer of status to be approved, the student will need to be able to show that their proposed thesis and treatment represents a viable topic and that their written work and interview show that they have a good knowledge and understanding of the subject. Students must show that they are competent to complete and present their thesis in English. In addition, the assessors will judge the application against the following criteria:

- The aims of the research are realistic and focused
- Evidence of wide reading and critical analysis
- Appropriate methodology and research techniques are proposed
- Limitations to the research are addressed
- It is clear how the research will develop for a D.Phil.
- There is a suitable timetable for the research
- The candidate demonstrates the progression of an argument
- The candidate shows a scholarly and rigorous approach to research issues
- The research topic and treatment meet the Division's ethical standards
- The written work and interview show that the candidate has a good overall knowledge and understanding of the subject
- The student is capable of carrying out advanced research
- The proposed schedule of work can be completed within three or at most four years for the D.Phil.
- The candidate has achieved a good pass mark for the qualifying exam

7. OUTCOMES OF TRANSFER OF STATUS

The assessors may recommend one of five outcomes, which must be considered and approved by the Graduate Studies Committee (excluding option (ii)).

(i) Successful transfer – Accompanied by suggestions and advice for future progress.

(ii) Revision of application – The assessors may request further minor clarifications before making a first recommendation. In such cases it should be possible to complete the additional work within the term of assessment.

(iii) Referral for a second attempt at transfer (with or without a further interview) – This should normally involve the same assessors and take place within one term of the first attempt. If the first attempt is made in the fourth term or later of PRS status, a one-term extension of PRS status is automatically granted to allow the second attempt. This extension of PRS status does not affect the total amount of time permitted for registration on the D.Phil. The assessors should provide clear guidance on what needs to be done to improve the application prior to the second attempt at transfer being submitted. This may require additional written work or other evidence, and possibly the appointment of an additional assessor.

Referral may simply represent attempts to ensure that the student's work is enhanced so that it is set on the best possible course, and should not necessarily be seen as a failure.

(iv) Transfer to the M.Litt. - Although the work presented was not suitable for transfer to D.Phil. status, nonetheless, the assessors felt it was strong enough for the lower award which is a less demanding and shorter time-scale research degree.

(v) Reject the application – The assessors cannot recommend transfer to either D.Phil. status or the lower award.

At the first attempt at transfer only options (i)-(iv) should normally be chosen. At the second attempt, options (i), (iv) or (v) should be considered.

If at the first attempt a student is transferred to the M.Litt. s/he may accept this, or may choose to retain PRS status and make a second transfer application the following term. If a student accepts transfer to the M.Litt. at the first attempt, or is transferred to the M.Litt. at the second attempt, s/he may *exceptionally* be permitted one further opportunity to transfer to D.Phil. status. This might be considered if sufficient time has elapsed (normally at least six months) to allow the possibility of significant improvement; that significant progress has been made; and that the student's supervisor supports the application. In addition the student's college and Director of Graduate Studies would also need to endorse the application.

If a student fails to transfer to D.Phil. status or to the status of the applicable lower degree after two transfer applications, s/he shall cease to hold the status of a PRS student and his/her name shall be removed from the Register of Graduate Students. In such circumstances, informal counselling, often involving the student's college, should be an integral part of the procedures.

8. DEFERRAL OF TRANSFER OF STATUS

Any student who has not applied to transfer status by the end of their fourth term will be required to attend a formal academic review meeting involving their supervisor(s) and Director of Graduate Studies (or at least one other member of academic staff who may or may not be a future assessor for Transfer of Status). The purpose of this meeting will be to review progress to date, and to draw up a clear timetable to ensure that Transfer of Status is successfully achieved within six terms as required by the *Examination Regulations*. The student will also be required to apply for a formal deferral of Transfer of Status for one or two further terms using the form GSO.2b available from www.ox.ac.uk/students/academic/guidance/graduate/progression. Students are required to complete the form, which should then be signed by the student's supervisor and College and be approved by the DDR.

In exceptional cases only, an extension of PRS status may be granted beyond six terms. Applications for such extensions require the approval of the University's Education Committee for formal dispensation from the *Examination Regulations*. Students should contact their Graduate Studies Administrator (www.ox.ac.uk/students/academic/guidance/graduate/contacts) for details of the application process. Any extensions to PRS status do not affect the overall time permitted for registration on the D.Phil.

APPENDIX III: DIVISIONAL NOTES ON CONFIRMATION OF STATUS (SECOND MILESTONE)

1. THE PURPOSE OF CONFIRMATION OF STATUS

The Confirmation of Status process allows the student to have an assessment of his/her work by two assessors, to give a clear indication of whether it would be reasonable to consider submission within the course of a further three terms, if work on the thesis continues to develop satisfactorily. However, successful confirmation of status should not be seen as being explicitly linked to the final outcome of the examination of the thesis.

The confirmation assessment is different from the transfer assessment. The assessors will be focusing on how the research is progressing, the quality of the draft chapters, and on the plan for completion. The assessors will therefore be looking to ensure that the student is making the appropriate amount of progress in the development of the thesis, so that submission will be achieved within three or at most four years. In doing so, they are also required to ensure that the student is not attempting to deal with an impossibly or unnecessarily large amount of material. The student should benefit from independent assessment of his/her work and should receive authoritative comments and suggestions on problems and how to address them. The assessors may be able provide guidance on how to better present the material, or on the use of concepts or methods. Even if the thesis is in good shape, the assessors may often stimulate valuable improvements to it. However, the assessors may also identify any weaknesses in theory, research design, data collection and analysis, which may compromise the final thesis. It should also be remembered that the confirmation assessment is a test (which it is possible to fail), and receiving critical comments can be difficult, and it may take a few weeks to come to terms with them. Finally, the interview is a good opportunity to prepare for the *vive voce* examination of the thesis.

The formal Regulations for Confirmation of Status are set out in the general regulations of the *Examination Regulations*, and in the special regulations for individual subjects, grouped within their particular Division. Further information is also available in the Education Committee's 'Policy on Research Degrees' www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees.

2. THE TIMING OF CONFIRMATION OF STATUS

i) Students who entered the D.Phil. as a Probationer Research Student

The general regulations of the *Examination Regulations* state that all students should apply for confirmation of status within nine terms of their admission as a graduate student. In this Department students are required, under the subject specific regulations, to apply for confirmation of status in their ninth term after arrival in Oxford - the application forms should be submitted in 1st Week of that term. Students should also normally achieve confirmation of status three months before submission of their thesis.

ii) Students who progressed to the D.Phil. from an M.Phil.

Students who have previously completed the M.Phil. in Development Studies (with a thesis in the same broad field as the topic for the D.Phil.) and who have been admitted directly to D.Phil. status, (i.e. transfer of status has been waived), should normally have achieved confirmation of status by the end of the third term of the D.Phil. However, in this Department students are required, under the subject specific regulations, to apply for confirmation of status in their eleventh term after arrival in Oxford, i.e. five terms after starting the D.Phil. - application forms should be submitted in 1st Week of that term. Students should also normally achieve confirmation of status three months before submission of their thesis.

3. HOW TO APPLY FOR CONFIRMATION OF STATUS

Applications for confirmation of status should be made using the GSO.14 form available from www.ox.ac.uk/students/academic/guidance/graduate/progression. Students are required to complete the form, which should then be signed by the student's supervisor and College. Students should include details of any research specific and/or personal and professional skills acquired, or further training needed in, and also information on any other related activities undertaken, e.g. presentation of posters, attendance at conferences etc. Students are also required to state whether their work required research ethics approval (and if appropriate, was granted). Students in this Department are also asked to complete the supplementary form ODID.2 on which Supervisors are asked (in consultation with their student) to suggest names of appropriate assessors.

In addition students will also be required to submit/complete the following:

1. Thesis title
2. Chapter plan
3. A comprehensive account of the treatment of the thesis topic (up to 3000 words, in 1.5 or double spacing)
4. Statement of progress to date
5. Timetable for completion
6. A substantial part (between 15000 and 20000 words) of the draft thesis (in 1.5 or double spacing) See section 3.4.3 above for further information on content.

The two forms can be submitted to Dominique Attala after they have been signed by student and supervisor(s). The rest of the application for confirmation of status should be submitted to Mary Smith, Graduate Studies Administrator, Social Sciences Division, Hayes House, George Street.

4. THE CONFIRMATION ASSESSMENT

The *Graduate Studies Committee/Director of Graduate Studies* will appoint two assessors neither of whom will be the student's supervisor to read the confirmation assessment and interview the candidate. The assessors will normally be academic members of staff working in the University of Oxford; only in exceptional circumstances will an external assessor be appointed. It is permissible for the same assessor to be used for both transfer and confirmation of status, and this person may also act as the internal examiner for the D.Phil. *viva voce* examination if they have been assessor for one (but not both) previous assessments. Students should normally expect to be interviewed within six to eight weeks of submitting their application, though this may be longer during the vacation periods due to availability of the assessors. The Confirmation assessment is a formal requirement, but the interview is not an official examination or viva, and *sub fusc* is not worn, but students should be dressed smartly (as if for an interview). The assessors will write a report and submit recommendations to the Graduate Studies Committee. Following their interview, students should normally expect to hear the outcome of their assessment within three to four weeks, though this may be longer during the vacation periods.

5. INSTRUCTIONS TO ASSESSORS

The assessors are asked to contact students as soon as reasonably possible to arrange a time for the interview, or to explain problems in doing so. Students can find it an anxious wait, and may have good reasons for wanting the assessment completed as soon as possible. Students should please let the Graduate Studies Administrator know if there is a problem in this respect at the time of application.

An applicant for confirmation of status should be close to having a complete thesis plan, and the work submitted should be close to reading as a complete thesis chapter. In contrast to the transfer assessment, omissions and missing perspectives are much more serious at this stage, but if the student can satisfy the assessors at interview that matters will improve, this should not be a reason to decline recommending confirmation of status. The work should be presented in a scholarly fashion and should be essentially of the standard expected of a D.Phil. thesis in the final examination, though it is not expected that every footnote should be in place yet etc. The assessors should judge the application against the criteria for success defined below. As with the transfer assessment, the assessors should aim to provide constructive criticism and advice to the student to identify and address deficiencies and thereby strengthen their thesis, rather than presenting a judgemental

verdict. Dismissive or aggressive remarks are not appropriate. If it is unclear during the assessment how the research will be completed, or the proposal is over-large, the assessors may request a revised thesis outline or further written work before submitting the initial report.

The joint assessors' report should be one to pages in length, providing a permanent record of advice given to the student at this stage and indication of the student's progress. It should normally include a summary of the points raised in the interview, feedback on the written work submitted prior to the interview, comments on the positive aspects of the student's work, as well as any concerns about the student's progress and suggestions for the research going forward.

In particular, the assessors are asked to consider the clarity of the goals, the chapter structure, the timetable for completion and progress to date, and the significance to the existing literature and field. They should also provide an evaluation of the written work submitted by testing whether the work is presented in a scholarly and lucid manner. More specifically, the assessors should consider commenting on whether the student has presented evidence of being able to undertake research that provides new knowledge/understanding, which is capable of advancing their field, will withstand peer review, and may be suitable for publication. Also, they should consider whether the student has developed a systematic acquisition and understanding of the substantial body of knowledge at the forefront of their field and a thorough understanding of the techniques for research needed for advanced academic enquiry. Furthermore, the student should show the capacity to design carry through and defend the thesis within three or at most four years. Finally, for non-native English speakers, the report should indicate the assessors' view of the student's ability to present and defend the work in English.

6. CRITERIA FOR SUCCESS

For confirmation of status to be approved, the student will need to be able to show that the research already accomplished shows promise of the ability to produce a satisfactory thesis on the intended topic, the work submitted for assessment is of the standard expected of a D.Phil. thesis in the final exam, the bulk of any fieldwork has been completed and the analysis is well developed, and the research schedule is viable so that the thesis can be completed within three, or at most four, years from admission.

Students must also show that they are able to present and defend their work in English. In addition, the assessors will judge the application against the following criteria:

- A clear indication of how the research is being developed into a thesis
- Potential original contribution to the field of study
- Evidence of a progression of argument and logic throughout the thesis
- Evidence of a scholarly and lucid approach to the research issues
- A clear timetable for the completion of the research within three, or at most four, years from admission
- The ability to write in clear and coherent manner, with due attention to presentation
- Competence in both written and spoken English
- The ability to articulate and defend the argument in the interview
- The draft chapters are of the quality expected for a final D.Phil thesis

7. OUTCOMES OF CONFIRMATION OF STATUS

The assessors may recommend one of five outcomes, which must be considered and approved by the Graduate Studies Committee (excluding option (ii)).

(i) Successful confirmation – Accompanied by suggestions and advice for future progress.

(ii) Revision of application – The assessors may request further minor clarifications before making a first recommendation. In such cases it should be possible to complete the additional work within the term of assessment.

(iii) Referral for a second attempt at confirmation - This should normally involve the same assessors and take place within one term of the first attempt. If the first attempt is made in the final term permitted, a one-term extension is automatically granted to allow the second attempt. This extension does not affect the total amount of time permitted for registration on the D.Phil., however if the

student has already been registered on the D.Phil. for twelve terms, the extension is counted as one of the potential six terms of extension of time permitted under the general regulations. The assessors should provide clear guidance on what needs to be done to improve the application before the second attempt at confirmation is submitted. This may require additional written work or other evidence, and possibly the appointment of an additional assessor. See above.

Referral may simply represent attempts to ensure that the student's work is enhanced and set on the best possible course, and should not necessarily be seen as a failure. However, a referral may be disappointing to a student and may take some time to come to terms with, especially if the assessors' comments are highly critical. Most students who do then go on to successfully complete the D.Phil. see the comments in retrospect as helpful, having given them the opportunity and incentive to make substantial improvements to the thesis and to avoid the risk of a far more costly and time-consuming referral of the final thesis.

(iv) Transfer to M.Litt. - Although the work presented was not suitable for confirmation of D.Phil. status, nonetheless, the assessor(s) felt it was still strong enough for the lower award which is a less demanding and shorter-timescale research degree. In cases where transfer to a lower award is approved, if the student is already in their ninth term or beyond, a formal extension of time will also be needed to allow the student to stay on the graduate register for the lower degree, otherwise their status will lapse, and they will have to subsequently apply for reinstatement to the graduate register.

(v) Reject the application - The assessors cannot recommend confirmation of status, or transfer to the lower award. This exceptional outcome should only be used if the quality of the student's work has regressed to below the standard previously achieved for transfer of status.

At the first attempt at confirmation only options (i)-(iii) should normally be chosen. At the second attempt, options (i), (iv) or exceptionally (v) should be considered. The Graduate Studies Committee may also request additional work or other evidence, or appoint an additional assessor to help in making a final decision.

If a student fails to confirm D.Phil. status or to transfer to the status of the applicable lower degree after two attempts, then his/her student status will lapse and his/her name will be removed from the Register of Graduate Students. In such circumstances, informal counselling, often involving the student's college, should be an integral part of the procedures.

8. DEFERRAL OF CONFIRMATION OF STATUS

If a student is unable to apply for confirmation of status within the prescribed number of terms permitted by the *Examination Regulations*, they must apply for a deferral of confirmation of status, otherwise their student status will lapse and their name will be removed from graduate register. It is possible to apply for a deferral of confirmation of status for up to three terms (depending on provisions in Special Regulations), as long as the total number of terms from admission as an M.Phil. or PRS student does not exceed twelve.

Any student who is considering applying for a deferral of confirmation of status will be required to attend a formal academic review meeting involving their supervisor(s) and Director of Graduate Studies (or at least one other member of academic staff who may or may not be a future assessor for confirmation of status). The purpose of this meeting will be to review progress to date, and to draw up a clear timetable to ensure that confirmation of status is successfully achieved within the proposed period of deferral.

To apply for a deferral of confirmation of status, a student will need to submit the GSO.14B form available from www.ox.ac.uk/students/academic/guidance/graduate/progression. Students are required to complete the form, which should then be signed by the student's supervisor and College. The Director of Graduate Studies or Director of Doctoral Research will then assess the application for deferral, taking into account any recommendations from the academic review meeting. If confirmation of status is not achieved within nine (or eleven for those from M.Phil.) terms of admission as a graduate student, or approval given for a deferral of confirmation of status, his/her status will lapse. In exceptional cases only, deferral may be granted beyond twelve terms. Applications for such deferral require approval of the University's Education Committee for formal dispensation from the *Examination Regulations*. Students should contact their Graduate Studies Administrator (www.ox.ac.uk/students/academic/guidance/graduate/contacts)

APPENDIX IV: OXFORD UNIVERSITY RESEARCH ARCHIVE (ORA) AND DIGITAL PUBLICATION OF THESES

The University of Oxford is committed to the widest dissemination of research theses produced by its graduate students. The Oxford University Research Archive (ORA) is an online archive of research output including theses created in fulfilment of Oxford awards, produced by graduate students at the University of Oxford.

DPhil, MLitt and MSc by Research Degrees

All students following the DPhil, MLitt or MSc (by Research) who registered for the DPhil from 1 October 2007 onwards, are required to deposit a hardbound and a digital copy of their thesis with the Bodleian Libraries. The digital copy should be deposited into the ORA at <http://ora.ox.ac.uk>. Students who commenced these degrees before October 2007 must deposit a hardbound copy but may also optionally submit a digital copy.

ORA provides maximum visibility and digital preservation for Oxford digital theses. Students should read the important information about the deposit of, and access to, digital theses which is available at <http://ox.libguides.com/digitaltheses> and includes:

- Legal requirements (including funder mandates) and author responsibilities
- When to deposit the digital copy of your thesis
- How to deposit the digital copy of your thesis
- Options for open and embargoed access. Theses, or parts of theses can be embargoed (for reasons such as sensitive content, material that would affect commercial interests, pre-publication or legal reasons)
- Information about file formats, fonts and file sizes

Copyright of the thesis usually rests with the author: this does not change when depositing your thesis in ORA. The author does not give away any rights to the Oxford University Research Archive or the Bodleian Libraries. However, students should read the information on third party copyright at: <http://ox.libguides.com/content.php?pid=435474&sid=3564761>

Students are strongly encouraged to ascertain and arrange permissions for inclusion and distribution of material via the Internet where copyright is held by a third party at the point that the items are gathered. This is similar to the process when writing a journal article or monograph. A 'Record of permissions' template has been created to assist with this process.

<http://ox.libguides.com/content.php?pid=435474&sid=3564761>

Further information or queries about depositing digital theses should be addressed to ORA@bodleian.ox.ac.uk.

The Social Sciences Division – Restricted access arrangements

Whilst the Social Sciences Division strongly supports open access to, and wide dissemination of, theses produced by its students, access to the full text of digital theses will be **restricted for three years** by default unless requirements of funding bodies require open access to be provided earlier (see below). This three year embargo is applied automatically by ORA staff. When completing the ORA online deposit form authors should therefore indicate whether they would like to 'opt out' of the default embargo and release their thesis earlier. For example, if the author's funding specifies an earlier release date. There is no need to complete a separate GSO3.C Dispensation from Consultation form at the time of deposit.

During the period of the embargo, only the following information from your thesis will be available in ORA:

- (i) Item record (details including your name, thesis title, subject area) **and**
- (ii) Abstract **and**
- (iii) Full text search for single words or short passages of text.

At the time of deposit an author may request permanent closure in ORA under the following circumstances:

(a) For digital material where copyright is held by a third party and permission to disseminate it via the Internet in ORA has not been granted by the copyright holder, the Department will grant permission for the copyright material to be deposited as a separate file from the thesis, on the understanding that the thesis will be available for consultation or reproduction but access to the copyright material will be restricted.

(b) Where confidential material forms only a small part of a thesis and the force of the thesis will not be seriously impaired by the removal of such material, the Department may grant permission for the access to the confidential material to be closed on the understanding that the thesis will be available for consultation or reproduction but access to the confidential material will be restricted.

Authors can also choose to override the default embargo and make their thesis open access, either at the time of deposit or at any time during the three year embargo. Authors who wish to make their thesis freely available on deposit should indicate this on the Deposit and Consultation of Thesis form (GSO₃A) and on the online ORA deposit form. Once the embargo is in place, students wishing to end it early should e-mail ORA@bodleian.ox.ac.uk. It is not recommended for those planning to publish their research as a book or article to make their thesis openly available in ORA without first discussing this matter with their supervisor and consulting potential publishers to ascertain their policy. The embargo will be automatically lifted after the three year period, and it is the responsibility of the author to apply for an extension if required. **No reminder will be sent by the Department/Faculty, the Bodleian Libraries or ORA staff** and it will be assumed that the full text can be released if a Dispensation from Consultation form (GSO₃C) is not submitted (see below).

If you are in receipt of research funding the following may apply:

The Terms and Conditions of Research Council Training Grants (www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/TermsConditionsTrainingGrants.pdf) require that metadata describing the thesis should be lodged in ORA as soon as possible after leave to supplicate has been granted, and for the full text version to be available within **a maximum of twelve months**. The Division has therefore agreed that the full-text of RCUK-funded students' theses should be made available within one year of leave to supplicate being granted.

Students funded by any other external body should be aware of, and also abide by, the terms and conditions for open access defined by their funder, and where there are discrepancies, the funding body's requirements should supersede the standard Divisional embargo.

Dispensation from consultation of your thesis – The Bodleian Libraries and ORA

(i) Authors may apply for dispensation from consultation beyond the end of the default 3 year embargo period (or other period specified by their funding body) of the copy of the thesis deposited in the Bodleian or other University Library **and/or** of the electronic copy of the thesis deposited in ORA if there is good reason for such a request. Reasons for requesting dispensation might include that consultation or reproduction would put at risk confidential material or invalidate an application for a patent on a product or process described in a thesis. Students are advised to be particularly mindful of the terms of any agreements with an outside body or sponsor governing supply of confidential material or the disclosure of research results described in the thesis.

(ii) Dispensation will always be granted (a) in cases where confidentiality has been made a condition of access to materials that are subsequently incorporated in a thesis and (b) for material where copyright is held by a third party and permission to disseminate it via the Internet has not been granted by the copyright holder. Students should apply for dispensation by completing form GSO₃C, available at: www.ox.ac.uk/students/academic/guidance/graduate/progression

Journal articles included within the thesis

Authors sometimes include published journal articles within their theses. Authors needing to include such articles as part of the e-thesis can make the article freely available only in compliance with

copyright and any sponsor permissions. See www.sherpa.ac.uk/romeo.php for guidance or ask ORA staff (ORA@bodleian.ox.ac.uk).

The copyright in the thesis

The copyright in the thesis usually remains with the author. In a tiny minority of cases, copyright might rest with a sponsor or other body. Students should speak to their supervisor or Research Services if they are unsure.

Third party copyright

If material has been incorporated within the thesis where copyright is held by an individual or group that is not the author (third party copyright) permission will be needed to make such material freely available on the Internet. It is best to obtain such permission when sourcing the material. Proof of permission will need to be provided when depositing the thesis in ORA (e.g. e-mail or letter). Authors should contact ORA staff (ORA@bodleian.ox.ac.uk) if they are unsure. A useful template to keep track of permissions for use of third party copyright materials is available for download at: <http://ox.libguides.com/aecontent.php?pid=435474&sid=3564761>

Intellectual property rights

Authors should apply for dispensation from consultation if consultation or reproduction of all or part of the thesis would put at risk **confidential material** or invalidate an application for a **patent** on a product or process described in the thesis, or restricting access to the thesis is a requirement of any **agreements with an outside body or sponsor** governing supply of confidential material or the disclosure of research results described in the thesis. Authors should speak to their supervisor or Research Services if they are unsure.

Plagiarism

Making the thesis open access increases its visibility, gains recognition for the author and certifies them as author of the work. It can also give rise to concerns about increased risk of plagiarism. However, when work is available open access, plagiarism is easier to detect (by using a web search engine).

General Queries

Any further information or queries regarding the deposit of your digital thesis, should be referred to ORA@bodleian.ox.ac.uk.

July 2015

APPENDIX V: CODE OF PRACTICE ON SUPERVISION

Appointment of supervisors for Graduate Research Students

The supervisory structure and sources of support

Patterns of supervision differ in the Social Sciences Division according to the nature of the subject or research project. In some subjects there is typically a sole supervisor; others may have two or more supervisors. Some research projects, particularly those with an interdisciplinary element, typically have more than one supervisor.

Where more than one supervisor is appointed, one of the supervisors may be designated the primary supervisor. In the case of joint supervision, the respective roles and responsibilities of the supervisors concerned should be clearly established from the outset.

In all cases, the department or faculty shall ensure that each graduate student has access to one or more named persons to whom he/she can turn for support, such as a Department Advisor, the head of the relevant research group, or the Director of Graduate Studies. Where there is a sole supervisor, these other sources of support, and the arrangements for providing cover during the absence of the supervisor referred to at 3 below, are especially important.

Departments and faculties should ensure that expectations with regard to the supervisor role, including regular meetings with students, is spelled out clearly and is understood by all supervisors.

In all cases students should also expect to be able to approach a college advisor, appointed by the student's college. The college may also have procedures in place to monitor the overall well-being of the graduate research student. If the college identifies any concerns which might impact on the academic progress of the student concerned, and which may not already have been recognised in departmental/faculty reports, it may refer these in confidence to the Director of Graduate Studies in the department/faculty concerned, who will initiate such action in the department/faculty as seems to him/her to be necessary in the individual circumstances.

The person(s) appointed to supervise

The supervisor shall normally be:

1. *Someone within the Department who is of sufficient standing to be able to operate with credibility on behalf of the responsible body*

The main supervisor shall normally be a member of academic staff of the Department of International Development.

Where specialist supervision is needed that is not available from a member of departmental academic staff, a member of academic staff of the University or college fellow, or a person holding, in the department, a substantial external fellowship or equivalent, a senior member of research staff (Grade 8 or above) may be appointed as a subject specialist supervisor, OR, in very exceptional, specific, cases, a supervisor may be appointed who is external to the University of Oxford. In either of these circumstances, an experienced member of academic staff shall always be appointed as joint supervisor.

2. *Someone who has sufficient experience to be able to provide appropriate guidance to the student about the necessary procedures and, in particular, the academic expectations associated with an Oxford doctorate in their subject area.*

At least one supervisor will currently be engaged in research in the relevant discipline(s) or subject area so as to ensure that the direction and monitoring of the student's progress is informed by up to date subject knowledge and research developments.

Appropriate support and training will be given to new supervisors.

Each new member of academic staff may take advantage of support in developing their teaching by arranging a one-to-one consultation with the Division's Educational Development Adviser shortly after starting in Oxford. This consultation will provide an opportunity for individuals to explore their own professional development needs and what aspects of the educational development programme of the Oxford Learning Institute (OLI) might be of help. In addition, all appointees new to supervision are encouraged to use the extensive online materials on the Oxford Learning Institute's Research Supervision Website www.learning.ox.ac.uk/supervision and to take part in the seminar on Supervising DPhil students www.learning.ox.ac.uk/seminars.php?page=3&cat=az available in Hilary Term. The Learning Institute can also provide a customised, Department-specific seminar on graduate supervision for groups of six or more; two or more smaller Departments can combine if preferred. Further details are available from: kathryn.black@learning.ox.ac.uk.

For members of academic staff in their first period of office, Departments will appoint an adviser who will, amongst his/her other duties, provide advice, support, and guidance on teaching, and supervision of research students. New academic staff will also have access to general support and advice from the Director(s) of Graduate Studies in their department/faculty. The supervision record of a new member of academic staff is included in the review prior to appointment to retiring age, and a high standard of supervision is expected.

When a supervisor is not a member of academic staff at the University, or a fellow of an Oxford college, or with previous supervisory experience:

an experienced member of academic staff will be appointed by the department either as a joint supervisor or, where this arrangement is not available or appropriate, as a designated advisor to the supervisor, and will be expected to act as mentor specifically to support research supervision;

when the supervisor is a member of contract research staff, s/he will be expected to attend the OLI seminar.

A candidate should not be admitted if there is no suitable specialist supervision available in the University or its colleges.

3. Someone who is able to undertake the tasks assigned to the supervisor in the Education Committee “Policy on Research Degrees” www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees including integrating them into the national and international network in their subject.

In terms of academic standing and experience, this is dealt with above.

Departments should put in place mechanisms to ensure that the quality of supervision is not put at risk as a result of the excessive volume and range of other duties assigned to individual supervisors. In respect of supervision of research students the norm is for university lecturers to supervise four students, and CUF and faculty lecturers three (notional maxima being eight and six respectively). These norms and notional maxima are based on sole supervision and, where staff are engaged in joint supervision, would be adjusted to reflect the level of commitment involved. The division typically expects a research student to have individual meetings with his/her supervisor for one hour not less than two to three times per term. However, the frequency may vary according to the stage of the research programme. It follows that, alongside his/her other duties, a supervisor should be able to provide this typical level of support for each of his/her research students.

Departments shall make appropriate arrangements to cover for a supervisor’s absence on leave or for other reasons, and should ensure that students are not disadvantaged by the appointment as a supervisor of someone who is about to go on leave.

Change of supervisor

Where a student’s research changes focus such that their current supervisor may no longer be the most appropriate person to provide guidance on the revised topic, departments and faculties, in consultation with the supervisor concerned, should consider whether or not an additional or alternative supervisor should be appointed. It should be noted that such a change of research focus is unusual, and requires prior permission from the department or faculty concerned.

Where a student feels that there are good grounds for contemplating a change of supervisor, this should first be discussed with the supervisor concerned, or if this seems difficult, with the appropriate head of department, Director of Graduate Studies or their deputies, or the college adviser (see section 4.1 of the Education Committee “Policy on Research Degrees”: www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees).

If this involves concerns over the quality of supervision, students should be encouraged to seek to resolve the matter by informal means where possible, but should be made aware of the University’s formal complaint procedures. The procedures adopted by the Proctors for the formal consideration of complaints and appeals are described in the Proctors and Assessor’s Memorandum www.admin.ox.ac.uk/proctors/info/pam and the relevant Council regulations www.admin.ox.ac.uk/statutes/regulations.

4. Someone who has sufficient security of tenure to make it likely that they will see the student’s research through to successful conclusion.

Normally, nobody should be appointed as supervisor if it is known at the time of the appointment that he or she will not be in post at the time the student is due to complete the programme in question.

Annexe A

Supervisor checklist

This document provides a checklist of the main areas of responsibility of supervisors:

General responsibilities

- provide academic leadership to the student, and clarification of expectations;
- advise the student about all aspects of the research programme: standards, planning, literature, sources, attendance at classes/ lectures, techniques and skills;
- undertake a regular Skills Review/Training Needs Analysis with the student;
- (where co-supervisor or part of a supervisory team) co-ordinate advice and guidance, and to ensure that respective responsibilities are clear both to academic colleagues and to the student;
- advise at an early stage on research design and the effective collection and storage of data;
- avoid absence on leave without appropriate temporary supervision having been arranged for the student. [Leave will not normally be approved without such arrangements being in place.]
- have reasonable familiarity with institutional, national and international expectations relating to research environments, research supervision and research training (see the QAA Code of Practice <http://www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code>).

Meetings and feedback

- agree with the student expected frequency and duration of meetings, and expected speed of feedback on student's written work;
- meet with the student regularly (typically, for one hour two to three times per term) and return submitted work with constructive criticism within a reasonable time;
- keep written records of the meetings to ensure both student and supervisor are clear on action to be taken and to help in monitoring progress;

Student Research

- assist the student in defining the topic of research which can be completed and written up within the prescribed period;
- provide an overview and guidance on the structure of the completed thesis and guide the student through to completion;
- give guidance on:
 - (i) the nature of research and the standard expected (including advice on presentation and writing style);
 - (ii) the planning of the research, literature and sources;
 - (iii) attendance on appropriate research training and professional skills training courses, including fieldwork safety courses;
 - (iv) techniques that may be needed;
 - (v) other sources of advice and expertise;
 - (vi) ethical issues, and the procedures for seeking ethical approval through the Social Sciences and Humanities Inter-Divisional Research Ethics Committee (IDREC), where appropriate;
- ensure that the student is aware of, and has taken appropriate action with respect to:
 - (i) any ethical and legal issues connected with the research and data storage;
 - (ii) any health and safety issues connected with the research, including lab-based research and/or fieldwork (see Annexe C – Supervisors' responsibilities for students undertaking fieldwork). This includes identifying and ensuring appropriate risk assessment and training;
 - (iii) issues concerning intellectual property;
 - (iv) issues related to third party copyright for the hard copy and digital thesis

- (v) the need to avoid plagiarism and to be aware of University guidance on plagiarism (see Policy and Guidance for Examiners and others involved in University Examinations <http://www.admin.ox.ac.uk/edc/policiesandguidance/pgexaminers/>)

Student progress, monitoring and performance

- assist the student to work within a planned framework and time-table;
- monitor the student's ability to write a coherent account of his or her work in good English;
- review student feedback and make termly reports on the student's work using the Graduate Supervision System (GSS), including reviewing and updating training requirements. The supervisor should discuss the contents of the report with the student;
- provide the student with regular information as to the student's progress, and, where problems arise, provide guidance and assistance as to necessary corrective action;
- provide relevant information on students' attendance, academic progression, and performance to the department;
- assist the student with the preparation, time-table and submission of material relating to applications for transfer of status, and for confirmation of status, and to provide appropriate feedback, especially where the student has failed to meet the required standards;
- ensure the student is familiar with all examination procedures and requirements;
- advise the student on the timing of the submission of the thesis and consult with the student in order to make recommendations for the appointment of examiners

Resources

- ensure that a student is familiar with the research facilities and activities of a department or faculty;
- advise as appropriate on financial support available, for example, funding for conferences, field trips, or other research travel;
- encourage the student to obtain knowledge and information about career opportunities and to alert the student, where necessary, to other services provided within the University, for example, health, disabilities, counselling, careers, skills

Development and training

- assist the student during the course of the first term, and at least annually thereafter, with the identification and subsequent development of skills for subject specific, research training and personal and professional purposes, including advice on teaching opportunities and appropriate training and ensure that the Skills Reviews/Training Needs Analysis is uploaded onto GSS;
- encourage the student to attend the Divisional student induction provided through the Social Sciences DTC and the appropriate courses offered through Divisional Skills Training Programme;
- pursue opportunities for the student to take part in the intellectual life of the department and to discuss his or her work with peers and others in the wider academic community (including the presentation, and possible publication, of research outcomes where relevant) at divisional, university, national and international level.

Discussion prompts for first meetings with students

To help clarify mutual expectations and establish good communication between supervisors and students, it may be useful to consider the following questions:

Research Direction

- How much direction do you expect to provide as a supervisor?
- How much direction does your student expect you to provide?

Knowledge and skills

- What skills do you expect your student to have or to acquire?

Time management and meetings

- How often do you expect to meet with your students?
- How much time do they expect from you?

Feedback and constructive criticism

- How often do you expect to receive work from students?
- What sort of feedback will you provide?
- What are your student's expectations?

Turnaround times

- How quickly do you expect to provide feedback on work that students have submitted for review?
- How quickly does your student anticipate you being able to provide feedback?

Communication between meetings

- What medium do you prefer to communicate with students: by phone, e-mail, in writing?
- How quickly do you expect to respond to messages from students?
- What do they prefer and expect?

Expectations for written work

- Do you expect to receive students' work all at once, or in smaller chunks?
- Do you expect their drafts to be 'works in progress' or more polished pieces?
- At what intervals do you expect students to submit work?
- Would you prefer to receive documents in hard copy or electronically?

Annexe B

Research student checklist

This document provides a checklist of the main areas of responsibility of research students:

General responsibilities

- an obligation to act as a responsible member of the University's academic community;
- responsibility for his or her own research activity, for satisfying the requirements of the D.Phil. programme, and for giving the necessary time and effort to the programme;
- responsibility for the direction of and innovation in the research project as it develops, with the support of the supervisor(s);
- responsibility for reviewing skills and training needs on a regular basis with the support of the supervisor(s), undertaking any training agreed with the supervisor and department(s) concerned, and uploading completed Skills Review/Training Needs Analysis documents on GSS;
- responsibility for working with his or her supervisor(s), other staff and colleagues to maximise progress in his/her research degree.

Meetings and feedback

- initiate arrangements for meetings with the supervisor and agree a schedule of meetings, and maintain regular contact;
- discuss and agree with the supervisor the most appropriate model of supervision and the type of guidance/comment he/she finds most helpful;
- recognize the demands made on a supervisor's time and the need to prepare adequately for meetings and to observe deadlines;
- accept the importance of constructive criticism within the supervisory relationship, and seek a full assessment of the strengths and weaknesses of any work;
- keep a written record of discussions with the supervisor, and give full weight to any suggested guidance and corrective action proposed;

Research

- define the area of research, complete the literature review, acquaint him/herself with the background knowledge needed, and produce a timetable for the completion of the research project;
- write a clear and detailed research proposal prior to embarking on the research for the thesis;
- abide by the University's requirements with regard to plagiarism, and the legal, ethical, and health and safety guidelines related to her/his research;
- prior to embarking on empirical work or fieldwork (data collection):
 - (i) seek approval from the supervisor;
 - (ii) where research involves human subjects, seek ethical approval via her/his department/faculty and complete the University ethical approval form(s) for submission to the Social Sciences and Humanities Inter-divisional Research Ethics Committee (IDREC) prior to undertaking data collection;
 - (iii) where necessary, apply in good time for a disclosure through the Criminal Records Bureau (CRB) if the research involves working with children and/or vulnerable adults.

Progress, monitoring and performance

- in consultation with the supervisor, establish a clear timetable and programme work which is kept under regular review, and keep relevant records of all aspects of the work;
- submit written material in sufficient time to allow for comments and discussion;
- engage actively in the review process and play an active role in planning and reviewing progress;
- seek out and follow the regulations applying to the research programme, and seek clarification, where necessary;
- provide regular reports on progress where these are required (and at least once a year for the supervisor), and to inform the supervisor immediately of any circumstance which might lead to interruption of study;
- with the support of the supervisor, complete the assessed written assignments required as part of the research training programme and submit them by the dates specified;
- ensure that the standard of his or her written and spoken English is of the necessary standard for the submission of a thesis;
- allow sufficient time for writing up and pay particular attention to final proof reading;
- decide when he or she wishes to submit the thesis for examination, having provided the supervisor with sufficient time to comment on the final draft and having taken account of the supervisor's opinion;
- (where the student feels that there are good grounds for contemplating a change of supervision arrangements) discuss this with the existing supervisor, or, if this presents difficulty, with another appropriate officer in the department, faculty or with a college adviser.

Resources

- make positive use of University, departmental/faculty, and college teaching and learning facilities;
- make appropriate use of any guidance available relating to the student's career after successful completion of a research degree.

Development and training

- attend the required courses/training, and other appropriate courses and research training as agreed with the supervisor;
- make full use of opportunities to engage in the intellectual life of the department/faculty and the wider academic community;
- make appropriate use of opportunities for personal and professional development.

Annexe C

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. 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 authorized.

Specific duties of Supervisors are to:

- Be aware of relevant University Safety Policies and Departmental 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

Relevant University policies, training courses and further information/resources can be found at:

<http://www.socsci.ox.ac.uk/services/research-and-impact/fieldwork/fieldwork>

<http://www.socsci.ox.ac.uk/services/research-and-impact/fieldwork/fieldwork-more-information>

<http://www.admin.ox.ac.uk/safety/policy-statements/s1-09/>

APPENDIX VI: THE ON-LINE GRADUATE SUPERVISION SYSTEM (GSS)

At the end of each term, your supervisor(s) will submit a report on your academic progress. To facilitate this reporting, the University operates an online Graduate Supervision System (GSS). Within this system, you have the opportunity to contribute to your termly supervision reports by reviewing and commenting on your own progress.

You are strongly encouraged to take the opportunity to review and comment on your academic progress with your research project (including written work like drafts of chapters), assessing this against the plan of research that has been agreed with your supervisor. You should also include any skills training you have undertaken or may need to the future, and on your engagement with the academic community (e.g. seminar/conference attendance or any teaching you have undertaken). Your supervisor(s) will review and comment on your academic progress and performance during the current term and assess skills and training needs to be addressed during the next term. Your supervisor should discuss the report with you, as it will form the basis for feedback on your progress, for identifying areas where further work is required, for reviewing your progress against an agreed timetable, and for agreeing plans for the term ahead.

If you have any complaints about the supervision you are receiving, you should raise this with the Director of Doctoral Research. You **should not** use the GSS supervision reporting system as a mechanism for complaints.

Students are asked to report in 6th and 7th Weeks of term. Once you have completed your sections of the online form, it will be released to your supervisor(s) for completion and will also be visible to the DDR, the Director of Graduate Studies and to your College Advisor. When the supervisor's sections are completed, you will be able to view the report, as will the DDR, Director of Graduate Studies and your college advisor. Directors of Graduate Studies are responsible for ensuring that appropriate supervision takes place, and this is one of the mechanisms they use to obtain information about supervision. College advisors are a source of support and advice to students, and it is therefore important that they are informed of your progress, including concerns (expressed by you and/or your supervisor).

To access the GSS, please visit <http://www.gss.ox.ac.uk>. You will be able to log on to the site using your single sign-on details. Full details of how to use the site are provided at the on-line help centre, however, should you need additional support, please contact your Graduate Studies Administrator in the first instance.

APPENDIX VII: DEPARTMENTAL FACILITIES FOR RESEARCH STUDENTS

INFORMATION ABOUT DEPARTMENTAL FACILITIES

Introduction

Welcome to the Oxford Department of International Development, Queen Elizabeth House. We hope you have an enjoyable and successful time in the department. These notes are to provide you with information on how the department works. If after reading them you still have queries about aspects of departmental functions, please do not hesitate to ask questions of the members of staff listed below.

The Oxford Department of International Development comprises over 100 staff – academics, researchers and support staff – and some 200 students. In addition to those working for a research degree, the department's student body consists of those undertaking the MPhil in Development Studies, the MSc in Refugee and Forced Migration, the MSc in Economics for Development, the MSc in Migration Studies, and the MSc in Global Governance and Diplomacy.

As well as academics working on individual research, the department hosts six research groups: the Refugee Studies Centre (RSC), the International Migration Institute (IMI), the Oxford Poverty and Human Development Initiative (OPHI), Young Lives, the Technology and Management Centre for Development and the International Growth Centre (IGC).

Visiting research fellows also work here under a variety of schemes to undertake reading and research into aspects of development. At any one time the department has up to ten fellows associated with it.

The department is located at 3 Mansfield Road. Development studies and forced migration library holdings are housed in the Social Science Library in Manor Road, which is five minutes' walk away.

Further information about the department can be found on <http://www.qeh.ox.ac.uk>

Personnel

Listed below are the names and internal telephone numbers of administrative and support staff based in the department with whom you are likely to come into contact in the course of your degree studies here.

Director of Doctoral Research	Nikita Sud (81823)
Graduate Student Administrator (incl. research students)	Dominique Attala (81806)
Main Reception	Penny Rogers (81800)
Assistant to the Head of Department	Denise Watt (81803)
Head of Administration	Julia Knight (81804)
Assistant to the H of A	Luci Cummings (81805)
Finance Officer	Wendy Grist (81824)
IT Officer	Rachel Crawford (81821)
RSC Administrator	Anneli Chambliss (81720)
Caretaker	Gary Jones (81818)

Office Hours

The reception and general administrative offices are situated at Mansfield Road. Office hours are Monday to Friday 9.00 am to 5.15 pm. A message can be left on general enquiries voice mail ((2)81800) out of office hours. All research students are entitled to swipe-card access to the Mansfield Road building via the two back doors (one in the main hall and one in the Frances Stewart wing) which enables access and egress at all times. **(Please check the doors have closed behind you when leaving the building at night!)** The access system uses the University Card which is entered in the department's access software.

The doors between both the new extension and the Frances Stewart wing and the main building lock at 8 pm; however, exit is always possible using the green button.

If there is a problem please see the IT officer Rachel Crawford.

The Graduate Student Administrator's (Dominique Attala) office is Room 20.24 on the first floor in the old building.

Smoking is not allowed anywhere in the department

WORK SPACE FOR RESEARCH STUDENTS

The department provides study space for research students in the top floor of the Frances Stewart wing. This dedicated work space provides computing and printing facilities and storage. A brief agreement covering aspects of space usage, which research students are required to sign, can be found in the folder distributed at the induction meetings. Desk allocation is co-ordinated by the DPhil Student Representatives in conjunction with the Graduate Student Administrator

Teaching Rooms

Seminars held by research students will take place in one of the seminar rooms at Mansfield Road, where most course lectures are held. Details of the day's programme of lectures and seminars, for all courses, will be available each morning at Reception.

Please ensure that mobile phones are switched off during lecturers and seminars.

General Facilities

There are **noticeboards** in reception which cover information about University seminars and courses, health and safety and general what's-on-in-Oxford. The research students' room has its own noticeboard and pigeonholes.

Telephones in the public areas of the department can be used for calls within the University and Colleges. Emergency calls (999) can also be made on these phones. The research student room has its own phone for internal and local calls (tel. no: 81836) together with an internal (University and College) telephone directory.

Students are not able to use the **photocopier** in Reception. Research students who have work to present at a formal seminar which requires multiple copying should ask Dominique Attala who will

make the copies. Please ensure that you give enough time for this and do not leave it to the last minute! All users must be aware of copyright legislation covering the use of photocopiers. Please read the notices by the machines. A notice regarding copyright legislation is also provided in this booklet

All students have access to the Social Sciences site at Manor Road and its catering and common room facilities. Please check the Manor Road Building website (<http://www.manor-road.ox.ac.uk/>) for opening times.

Common Room and Catering

The department's common room (main hall) for students and staff is located on the ground floor at Mansfield Road. The room is usually available during working hours for relaxation and there is a selection of newspapers to read.

The department has a kitchen run by Will Pouget, who operates the Vaults and Alpha Bar in the Covered Market, supplying mainly organic snacks and light lunches from 12.00 to 1.30 pm, Monday – Friday in term time. A Fair Trade coffee machine is also available in the common room and near the research students' study space. The main seating area for consumers is in the area adjoining the kitchen, but people are welcome to use the common room and courtyard.

Manor Road also has a catering facility and a common room which is available to research students during the building's opening hours.

Parking

Car parks are for permit holding University staff only and are patrolled by the University's Security Service staff who have the authority to clamp parked cars not displaying a permit.

There are public bicycle racks in Mansfield Road and Jowett Walk. You are strongly advised to secure your bike with a strong lock. Please do not leave your bike in the racks over long holiday periods.

Safety and Security

The departmental guidance note Safety for Staff, Students and Visitors can be found on WebLearn at: <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/safety>. Please read it carefully and if you have any queries please refer to the Administrator or the Safety Officer. A fire drill will be held in Michaelmas Term. Please ensure that you understand the procedures by reading the blue notices posted around the building. If the drill is not carried out satisfactorily, it will have to be repeated.

The Thames Valley Police Student Safety website can be found at: <http://www.thamesvalley.police.uk/crprev/crprev-student.htm>. The contact number for non-emergency enquiries is 101.

All research students should read the DSE (Display Screen Equipment) notes in Appendix xxii. (See <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/safety/page/resources> on WebLearn for department notes on DSE use and <http://www.admin.ox.ac.uk/safety/policy-statements/s8-09/> for the University's policy statement on the use of DSE). The department has staff who can advise on workstation layout. Please refer to the IT Officer if you would like advice.

The department's insurance cannot accept liability for loss of personal possessions. It is important that belongings are not left unattended in your work rooms, seminar and lecture rooms. Lock bags and valuables away in a filing cabinet and when you leave the room do not leave it unlocked. All rooms are vulnerable to walk in thieves although risk can be minimised by following these practices. CCTV is in operation in various parts of the department.

Safety in fieldwork and travel insurance

There are extensive guidance notes and information regarding safety in fieldwork are available on WebLearn (<https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/safety/page/resources>). These

must be read before any fieldwork is contemplated. When you know in which countries you wish to undertake your fieldwork you will need to complete a questionnaire and undertake a risk assessment which must be approved and signed by your supervisor. Information about travel and medical insurance can also be found in the same document. Please read this carefully and complete the appropriate insurance forms at least four weeks in advance of travel (and preferably more) in case there are queries with the Insurance section.

Library Services

The extensive Development Studies collections are housed in the Bodleian Social Science Library (SSL) at Manor Road, the Social Science building, five minutes' walk from Mansfield Road. All library holdings are searchable through the online catalogue SOLO <http://solo.bodleian.ox.ac.uk>. Many course readings are also available through the SSL e-readings link via Weblearn. The Library has access to a comprehensive collection of electronic journal titles via OU e-journals and databases through OxLIP+ (Oxford Libraries Information Platform). As members of the University, students can also use the main University Library, the Bodleian, and other libraries within the Bodleian Libraries system such as Law, Radcliffe Science and Anthropology.

Students will be provided with a library induction session at the beginning of Michaelmas Term, and a search skills session for online resources at the start of Hilary Term in preparation for dissertation writing. The Libguide for International Development also provides useful links for subject-specific resources (<http://ox.libguides.com/development>). Sarah Rhodes, Subject Consultant for International Development, is based in the SSL and available for individual research appointments on request (sarah.rhodes@bodleian.ox.ac.uk). Social Sciences data management queries can be addressed to John Southall (john.southall@bodleian.ox.ac.uk). The SSL website can be found at www.bodleian.ox.ac.uk/ssl.

Occupational Health Service

The Service provides travel advice, immunisations and antimalarial prophylaxis to University staff and certain students travelling in the course of their work, for example, undertaking research abroad, attending conferences or going on field trips. There is a travel clinic on Monday afternoons in the University Occupational Health Service at 10 Parks Road. Telephone: 01865 (2)82676, or e-mail: enquiries@uohs.ox.ac.uk.

Book well in advance so that courses of immunisation can be completed in good time (at least six weeks before your departure date). Bring a completed travel appointment request form (see Dominique Attala for more information on this form). This service does not extend to families or other accompanying persons nor does it extend to travel on College business. Advice for non-University business should be obtained from your G.P.

More information on vaccinations and preparation for travel abroad are available from the Occupational Health website at:
<http://www.admin.ox.ac.uk/uohs/at-work/travel/>

IT Services

The University's IT Services is located 15 minutes' walk away in Banbury Road. It offers a wide range of services, including a large variety of courses which are open to all students. Further details may be found at <http://www.it.ox.ac.uk/> or via the department's Noticeboard page, in various information leaflets available from IT Services and displayed on ODID Foyer noticeboards. In order to use these services you will be required to identify yourself by your University Card, giving the Card's barcode number where necessary.

Computing Facilities for Research Students at ODID

The department's IT Officer is Rachel Crawford, who may be contacted by email: it-support@qeh.ox.ac.uk.

In the research student area there are around twenty-five computers, together with several network printers.

All computers are connected to the University network and have the Windows 7 operating system and include the following programmes: Microsoft Office, Endnote, Nvivo, Stata and SPSS. All computers are protected by anti-virus software. Other software may be installed subject to availability. If you have any particular software requirements, these should be discussed with the ODID IT Officer. Please do not attempt to install any software on departmental computers without first consulting the ODID IT Officer.

Computer Accounts

In order to use departmental computers, students will require a username and password. To obtain a username/password, please send an email to the ODID IT Support Officer at: it-support@qeh.ox.ac.uk

Saving Files

Each user with a computer account is automatically provided with secure filestore on the department's file server. This is accessed through the drive labelled S:\. All user files should be saved under S:\, and NOT placed on the session desktop or saved on other drives. Each user's S:\ drive is accessible only by that user, and cannot be accessed by others.

When saving files make sure that you know where they are being saved, as the default save location in some applications may be a folder on a drive other than S:\. The total amount of file storage is shared amongst all users, so users should only use S:\ to save files related to their work and should not store other files here, such as large music or graphics files; nor should S:\ be used as a backup device for your hard disk.

Printing

All print usage is monitored and the department reserves the right to charge for printing if it considers print usage to be excessive.

Email

The main central email server at Oxford is called Nexus. Nexus is one of the systems run by the University's IT Services.

All new members of the University are automatically pre-registered for a Nexus account for when they arrive in Oxford. Most Oxford users have an email address relating to their college, e.g. chris.jones@sant.ox.ac.uk. Graduate and staff users also get an email address relating to their department, e.g. chris.jones@qeh.ox.ac.uk.

WebLearn

Course materials (lecture lists, reading lists, etc) are now held on WebLearn. WebLearn (<http://www.weblearn.ox.ac.uk/>) is a web-based virtual learning environment (VLE). In order to access the site you will require a username and password. Your username is your Oxford Username (*i.e.* the same as your Nexus username/password) (see Webauth (<https://webauth.ox.ac.uk/>) for more details about University of Oxford Authentication)

Harassment

The University's policy relating to Harassment is available at: www.admin.ox.ac.uk/eop/harassmentadvice. The department has two advisors who are ready to advise in complete confidence on any problems that may arise from alleged or apparent breaches of the Code. The advisors are:

Ms. Julia Knight ((2)81804) julia.knight@qeh.ox.ac.uk

Professor Chris Adam ((2)81816) christopher.adam@qeh.ox.ac.uk

Disability

If you have any concerns or need advice please refer to your supervisor or the Graduate Student Administrator, Dominique Attala or the Director of Graduate Studies. The University's Disability Office website is at: <http://www.admin.ox.ac.uk/eop/disab/>. If you have any concerns or need advice please refer to your supervisor or Dominique Attala. The University's Disability Office website is at: <http://www.admin.ox.ac.uk/eop/disab/>.

Issues to be raised with the department's Disabilities and Special Needs Committee should be forwarded to the secretary (Luci Cummings tel: 81805, email: lucienne.cummings@qeh.ox.ac.uk) who will refer to the Chair if immediate action is required.

Language Centre

The University's Language Centre is located at 12 Woodstock Road. It provides resources for members of the University who need foreign languages for their study or interest. The website is at: www.lang.ox.ac.uk

Careers Service

The University's Careers Service is situated at 56 Banbury Road Oxford. The Careers Service exists to enable current and recent Oxford University students to make and implement well-informed decisions about their careers. More information regarding this is available from their website at: www.careers.ox.ac.uk.

Cycling in Oxford

Oxfordshire County Council provides a website offering comprehensive information on cycling in Oxford (e.g. regulations, safety, details of cycle lanes/routes). The website is at www.oxfordshire.gov.uk/cms/public-site/cycling.

Student Counselling Service

The University has a professionally staffed confidential Student Counselling Service for assistance with personal, emotional, social and academic problems. The Service is available free to all matriculated undergraduate and graduate members of the University. www.ox.ac.uk/students/welfare/counselling

IMPORTANT NOTE

Students' Addresses

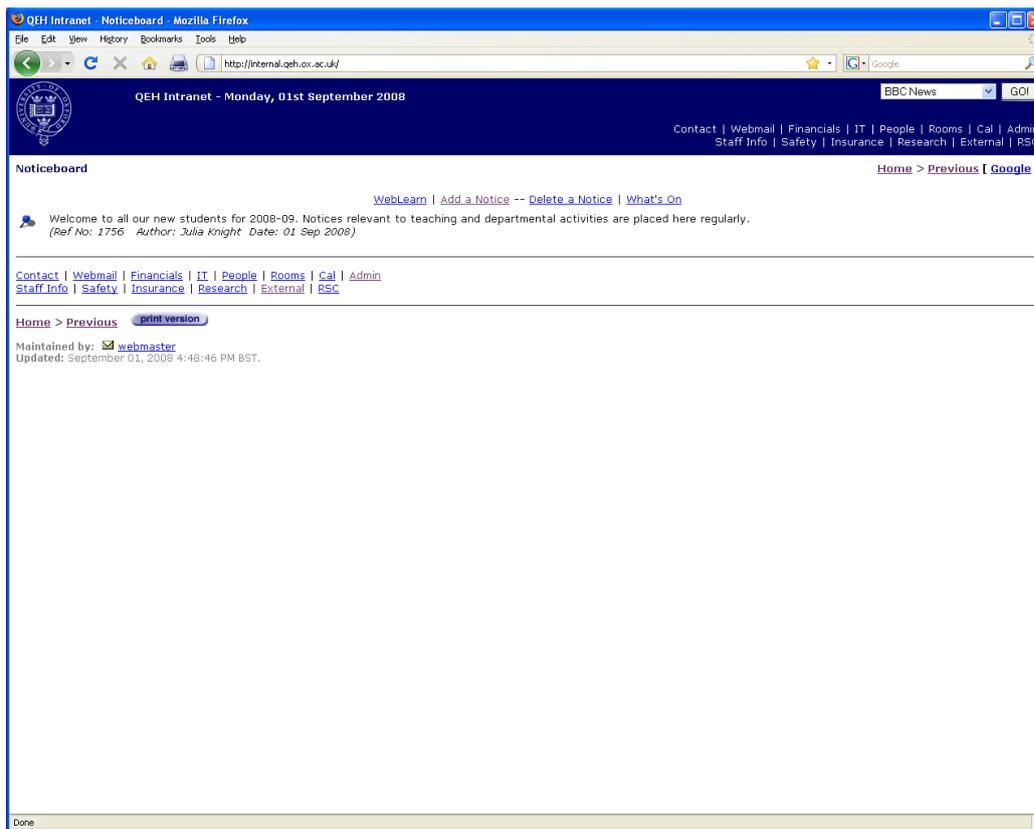
It is important that Dominique Attala (Graduate Student Administrator at ODID) and Mary Smith, the Social Sciences Division Graduate Studies Administrator (2)14861 based at Hayes House, 74 George Street are kept informed of any change of address.

Useful Information for Students (The Student Gateway)

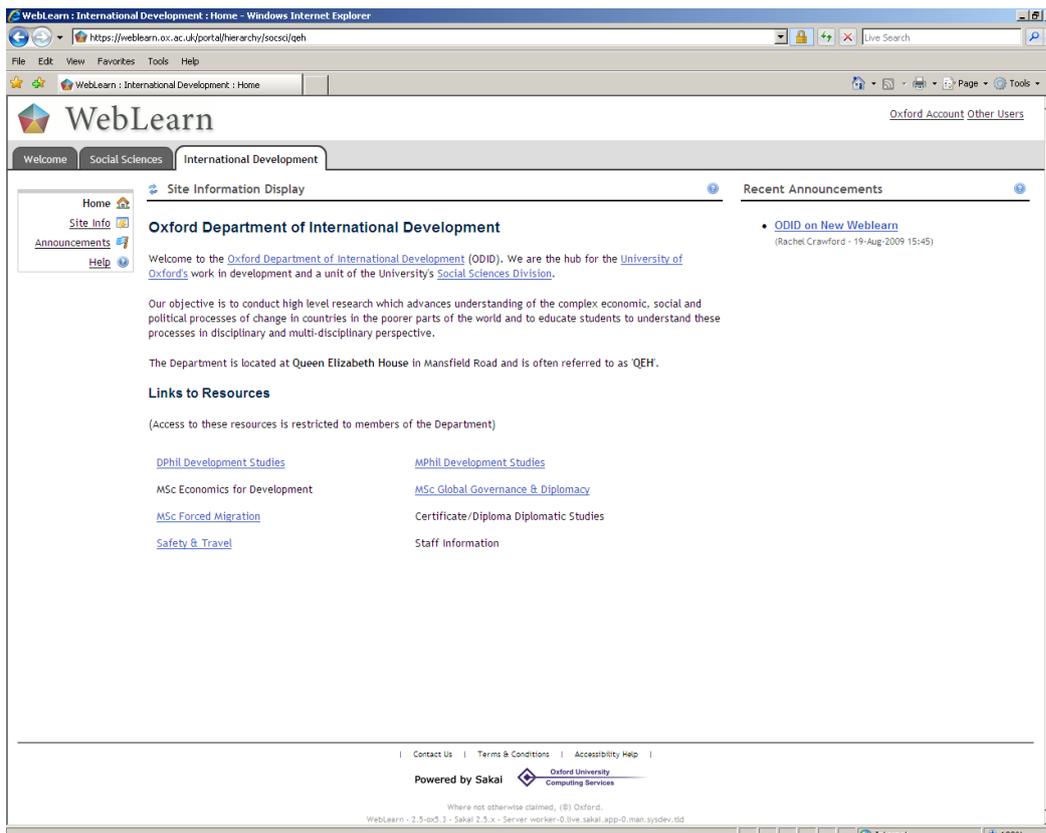
The drop down list on the department's Noticeboard page has links to many useful sites, mainly in the University but some outside. The University of Oxford link directs you to the University's home page where a current students link www.ox.ac.uk/students leads to a wide range of information including Careers Service, Language Centre, IT, student organisations, study information, funding information and publications. If you cannot find what you require please ask Dominique Attala or your supervisor who will help.

We all wish you a pleasant and productive time in the Department.

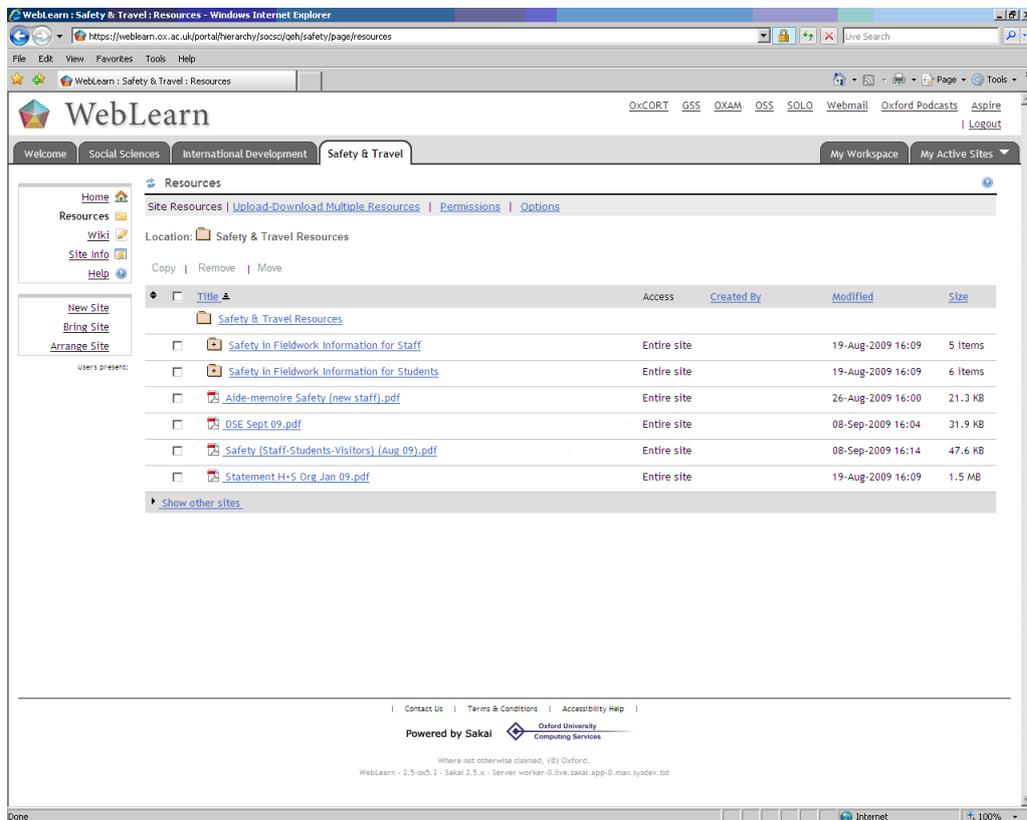
THE ODID INTRANET The Noticeboard page:



The main Departmental WebLearn page:



Safety and travel resources page, showing safety in fieldwork information (WebLearn):



APPENDIX VIII: AGREEMENT ON USE OF WORKSPACE

A policy regarding the use of desks has been formulated and is available from the D.Phil. Representative. Each new student will be required to complete and sign an agreement on the use of the workspace.

I (name)..... Date..... agree to the following rules:

1. That during the first year after matriculation, including new PRS and M.Phil.-to-D.Phil. students, facilities are shared and students may not occupy any space exclusively.
2. During periods of extended absence (longer than four weeks), all belongings must be cleared from desk and shelving areas, in order to make way for other students.
3. Upon submission of the thesis, students have two weeks after handing in their thesis (but before viva) to clear all belongings, including books and papers, from the Loft, including the lockers. Any belongings left after this time will be cleared and thrown away. It would be possible for students to use the hot desks in the period between submission and viva if they need access to a computer and the desks are all in use. Students who have yet to submit should have preference over those who have already submitted.
4. Students who are required to do re-writes will be able to use a desk if one is free or to use one of the hot desks.
5. For safety reasons there is a ban on floor storage of books, boxes, paper and other impedimenta.
6. The department is not able to store belongings because of lack of space.
7. Students are responsible for keeping the Loft neat and tidy.
8. Students will ensure that they use the equipment properly. If using the microwave, **DO NOT** leave it unattended while it is heating the food.
9. If the fire alarm goes off, **ALL STUDENTS MUST VACATE THE BUILDING QUICKLY** even if they know the reason (e.g. microwave!).

APPENDIX IX: STORAGE

There is a small storage room in the DPhil Loft in which students are allowed to store a *small* number of boxes or cases **during fieldwork periods only**. Long vacations, pre-doctoral positions, moving home, etc are not acceptable uses of this storage space. Each container must be solid and labelled with the template form available on Weblearn. Items which have not been reclaimed by the date on the storage label and anything which has been left by students who have completed their degree will either be donated to Loft students or charity.

APPENDIX X: SOURCES OF FUNDING

Vice-Chancellors' Fund Awards (D.Phil.)

This is a hardship fund which is intended to assist academically outstanding D.Phil. students who require extra funding to complete their degree. Eligibility: academic excellence; in need of financial assistance; not beyond fourth year of funding; achieved confirmation usually by end of April; planning to submit usually between beginning of September and end of following March. Awards are up to £3,000. Application forms can be downloaded from the Student Funding website: www.ox.ac.uk/students/fees-funding/assistance/hardship The closing date is normally early February

ODID First Year Travel Grant

Application: Four weeks before travel. Application form obtained from Weblearn
Eligibility: PRS/D.Phil. students preparing for first fieldwork after starting the course
Those who have ESRC studentships are not eligible
Funding: £500 per student

George Peters Travel Scholarship, ODS Travel Grant

Application: Dates on Travel Funds application form obtained from Weblearn
Eligibility: D.Phil. students at ODID who have successfully transferred status
Funding: up to £500 per grant

ODS Student Bursary Fund

Application: Dates on application form obtained from Weblearn.
Eligibility: ODID D.Phil. students who have confirmed status. Unforeseen hardship must be proven and all other funding possibilities exhausted
Funding: £1,000+.

Support for Field Research in Asian Countries Through ECAF

Thanks to support from Anthropology, Geography, Development Studies, and the Oriental Institute, the University of Oxford is now a member of the European Consortium for Asian Field Study. This means that members of the university now have access to the facilities of over twenty research centres in sixteen different Asian countries, including Pakistan, India, Nepal, Thailand, Vietnam, Malaysia, Indonesia, China, and Japan.

Further information: www.ecafconsortium.com

PRS/M.Phil Language course funding

Application: via Dominique - include recommendation from supervisor plus costings from the place where lessons are to be taken
Eligibility: 1st year research PRS.
Funding: up to £80 per person

Small grants to PRS and D.Phil. students

For travel and related expenses for students invited to present their doctoral research at academic conferences (up to £150 per conference and per application). These small grants are administered by the DDR, and the rules are:

- (a) you must be post-Confirmation of status or expecting to have confirmed by the date of the conference;
- (b) you must be presenting key pieces of your D.Phil. research; conference attendees should be people in your field who could potentially help you in your career;
- (c) you must have tried other sources first;
- (d) you can apply at any time, by sending Dominique an e-mail with details of the conference, a budget showing expected costs and any funding already obtained or requested, an abstract of the paper to be presented and the conference programme showing your name as a presenter. List other sources you have tried. Copy the e-mail to your supervisor, from whom a message of support is needed;
- (e) in allocating the limited funds, lower priority will be given to applicants who were awarded one of these grants earlier and even lower priority to those who have already been awarded more than one (you are unlikely to get more than one or two of these grants during your time at ODID);
- (f) payment of conference grants is made after the conference on production of receipts (it is a condition of these grants that your affiliation with ODID be on the record).

General

General funding information for Overseas students can be obtained from the Graduate Admissions and Student Funding Office.

Email: Student.Funding@admin.ox.ac.uk Webpage: www.ox.ac.uk/feesandfunding/graduates/

Gazette

Announcements are made in the *Gazette* of any bursaries, prizes, grants. It is a good idea to keep an eye on the new editions (also available on-line at: www.ox.ac.uk/gazette)

APPENDIX XI: RESEARCH ETHICS AND CUREC 1A APPLICATION

The Oxford Department of International Development has adopted the following *Ethical Guidelines for Good Research Practice*¹ The guidelines contain general provisions for good practice applicable to the conduct of research in the field of International Development. Though they should be interpreted in light of the demands and circumstances of individual research projects, the guidelines should broadly govern all research conducted under the auspices of ODID. All researchers must also complete the University's CUREC (Central University Research Ethics Committee) forms available in the Checklists and forms section of the CUREC website www.admin.ox.ac.uk/curec/ Instructions regarding the completion of the forms follow the guidelines.

ETHICAL GUIDELINES FOR GOOD RESEARCH PRACTICE

Research in the field of International Development occurs in many places around the world, often in countries which are not the 'home' of the researcher. Such studies occur within a variety of economic, cultural, legal and political settings. As professionals and as citizens, researchers need to consider the effects of their involvement with, and consequences of their work for, the individuals and groups among whom they do their fieldwork (their research participants or 'subjects'); their colleagues, and collaborating researchers; sponsors, funders, employers and gatekeepers; their own and host governments; and other interest groups and the wider society in the countries in which they work.

¹ These are adapted with permission from the ethical guidelines of the Association of Social Anthropologists of the Commonwealth.

Researchers are increasingly faced with competing duties, obligations and conflicts of interest, and the need to make implicit or explicit choices between values and between the interests of different individuals and groups. Ethical and legal dilemmas can occur at all stages of research - in the selection of topic, area or population, choice of sponsor and source of funding, in negotiating access, making 'research bargains' during fieldwork, in the interpretation and analysis of results, and in the publication of findings and the disposal of data. Researchers have a responsibility to anticipate problems and insofar as is possible to resolve them without harming the research participants or the scholarly community. They should do their utmost to ensure that they leave a research field in a state which permits future access by other researchers. As scholars committed to the pursuit of knowledge and the public disclosure of findings, they should strive to maintain integrity in the conduct of their research.

To these ends ODID has adopted the following set of ethical guidelines to which individual researchers should subscribe. They aim to alert researchers to issues that raise ethical concerns and to potential problems and conflicts of interests that might arise in the research process. They are intended to provide a practical framework for scholars to make informed decisions about their own behaviour and involvement, and to help them communicate their professional positions more clearly to the other parties involved in, or affected by, their research activities.

I. Relations With and Responsibilities Towards Research Participants

The association of researchers with the people among whom they carry out research entails personal and moral relationships, trust and reciprocity between the researcher and research participants; it also entails a recognition of power differentials between them.

(1) Protecting research participants and honouring trust: Researchers should endeavour to protect the physical, social and psychological well-being of those whom they study and to respect their rights, interests, sensitivities and privacy:

(a) Most researchers in International Development would maintain that their paramount obligation is to their research participants and that when there is conflict, the interests and rights of those studied should come first;

(b) Under some research conditions, particularly those involving contract research, it may not be possible fully to guarantee research participants' interests. In such cases researchers would be well advised to consider in advance whether they should pursue that particular piece of research.

(2) Anticipating harms: Researchers should be sensitive to the possible consequences of their work and should endeavour to guard against predictably harmful effects. Consent from subjects does not absolve researchers from their obligation to protect research participants as far as possible against the potentially harmful effects of research:

(a) The researcher should try to minimise disturbances both to subjects themselves and to the subjects' relationships with their environment. Even though research participants may be immediately protected by the device of anonymity, the researcher should try to anticipate the long-term effects on individuals or groups as a result of the research;

(b) Researchers may sometimes be better placed than (at the least, some of) their informants to anticipate the possible repercussions of their research both for the immediate participants and for other members of the research population or the wider society. In certain political contexts, some groups, for example, religious or ethnic minorities, may be particularly vulnerable and it may be necessary to withhold data from publication or even to refrain from studying them at all.

(3) Avoiding undue intrusion: Researchers should be aware of the intrusive potential of some of their enquiries and methods:

(a) Like other social researchers, researchers in International Development have no special entitlement to study all phenomena; and the advancement of knowledge and the pursuit of information are not in themselves sufficient justifications for overriding the values and ignoring the interests of those studied;

(b) Researchers should be aware that for research participants becoming the subject of scholarly description and interpretations can be a welcome experience, but it can also be a disturbing one. In many of the social scientific enquiries that have caused controversy this has not arisen because participants have suffered any actual harm, directly or indirectly. Rather, the concern has resulted from participants' feelings of having suffered an intrusion into private and personal domains, or of having been wronged (for example, by having been caused to acquire self-knowledge which they did not seek or want).

(4) Negotiating informed consent: Following the precedent set by the Nuremberg Trials and the constitutional laws of many countries, inquiries involving human subjects should be based on the *freely given informed consent of subjects*. The principle of informed consent expresses the belief in the need for truthful and respectful exchanges between social researchers and the people whom they study.

(a) Negotiating consent entails communicating information likely to be material to a person's willingness to participate, such as: - the purpose(s) of the study, and the anticipated consequences of the research; the identity of funders and sponsors; the anticipated uses of the data; possible benefits of the study and possible harm or discomfort that might affect participants; issues relating to data storage and security; and the degree of anonymity and confidentiality which may be afforded to informants and subjects;

(b) Conditions which constitute an absence of consent: consent made after the research is completed is not meaningful consent at all. Further, the persons studied must have the legal capacity to give consent. Where subjects are legally compelled (e.g., by their employer or government) to participate in a piece of research, consent cannot be said to have been meaningfully given by subjects, and researchers are advised not to pursue that piece of work;

(c) Consent in research is a process, not a one-off event, and may require renegotiation over time; it is an issue to which the scholar should return periodically;

(d) When technical data-gathering devices such as audio/visual recorders and photographic records are being used those studied should be made aware of the capacities of such devices and be free to reject their use;

(e) When information is being collected from proxies, care should be taken not to infringe the 'private space' of the subject or the relationship between subject and proxy; and if there are indications that the person concerned would object to certain information being disclosed, such information should not be sought by proxy;

(f) The long period over which researchers can make use of their data and the possibility that unforeseen uses or theoretical interests may arise in the future may need to be conveyed to participants, as should any likelihood that the data may be shared (in some form) with other colleagues or be made available to sponsors, funders or other interested parties, or deposited in archives.

(5) Rights to confidentiality and anonymity: Informants and other research participants should have the right to remain anonymous and to have their rights to privacy and confidentiality respected. However, privacy and confidentiality present particularly difficult problems given the cultural and legal variations between societies and the various ways in which the real interests or research role of the scholar may not fully be realised by some or all of participants or may even become "invisible" over time:

(a) Care should be taken not to infringe uninvited upon the 'private space' (as locally defined) of an individual or group;

(b) As far as is possible researchers should anticipate potential threats to confidentiality and anonymity. They should consider whether it is necessary to record certain information at all; should take appropriate measures relating to the storage and security of records during and after fieldwork; and should use where appropriate such means as the removal of identifiers, the use of pseudonyms and other technical solutions to the problems of privacy in field

records and in oral and written forms of data dissemination (whether or not this is enjoined by law or administrative regulation);

(c) Researchers should endeavour to anticipate problems likely to compromise anonymity; but they should make clear to participants that it may not be possible in field notes and other records or publications totally to conceal identities, and that the anonymity afforded or promised to individuals, families or other groups may also be unintentionally compromised. A particular configuration of attributes can frequently identify an individual beyond reasonable doubt; and it is particularly difficult to disguise, say, office-holders, organizations, public agencies, ethnic groups, religious denominations or other collectivities without so distorting the data as to compromise scholarly accuracy and integrity;

(d) If guarantees of privacy and confidentiality are made, they must be honoured unless there are clear and over-riding ethical reasons not to do so. Confidential information must be treated as such even when it enjoys no legal protection or privilege, and other people who have access to the data should be made aware of their obligations likewise; but participants should be made aware that it is rarely, if at all, legally possible to ensure total confidentiality or to protect the privacy of records;

(e) Similarly the measures taken by other researchers to maintain the anonymity of their research field and participants.

(6) Fair return for assistance: There should be no economic exploitation of individual informants, translators and research participants; fair return should be made for their help and services should be respected.

(7) Participants' intellectual property rights: It should be recognised that research participants have contractual and/or legal, interests and rights in data, recordings and publications, although rights will vary according to agreements and legal jurisdiction.

(a) It is the obligation of the interviewer to inform the interviewee of their rights under any copyright or data protection laws of the country where research takes place, and the interviewer must indicate beforehand any uses to which the interview is likely to be put (e.g., research, educational use, publication, broadcasting etc);

(b) Under the UK Copyright Act (1988), researchers making audio or video recordings must obtain 'copyright clearance' from interviewees if recordings are to be publicly broadcast or deposited in public archives. Any restrictions on use (e.g., time period) or other conditions (e.g., preservation of anonymity) which the interviewee requires should be recorded in writing. This is best done at the time of the interview, using a standard form. Retrospective clearance is often time-consuming or impossible where the interviewee is deceased or has moved away;

(c) Interviewers should clarify before interviewing the extent to which subjects are allowed to see transcripts of interviews and fieldnotes and to alter the content, withdraw statements, to provide additional information or to add glosses on interpretations;

(d) Clarification must also be given to subjects regarding the degree to which they will be consulted prior to publication.

(8) Participants' involvement in research: As far as is possible researchers should try and involve the people being studied in the planning and execution of research projects, and they should recognize that their obligations to the participants or the host community may not end (indeed should not end, many would argue) with the completion of their fieldwork or research project.

II. Relations With and Responsibilities Towards Sponsors, Funders and Employers

Researchers should attempt to ensure that sponsors, funders and employers appreciate the obligations that they have not only to them, but also to research participants, and to professional colleagues.

(1) Clarifying roles, rights and obligations: Researchers should clarify in advance the respective roles, rights and obligations of sponsor, funder, employer and researcher:

(a) They should be careful not to promise or imply acceptance of conditions which would be contrary to professional ethics or competing commitments. Where conflicts seem likely, they should refer sponsors or other interested parties to the relevant portions of the professional guidelines;

(b) Those who work in non-academic settings should be particularly aware of likely constraints on research and publication and of the potentiality for conflict between the aims of the employer, funder or sponsor and the interests of the people studied;

(c) Where some or all of the research participants are also acting as sponsors and/or funders of the research the potential for conflict between their different roles and interests should be made clear to them.

(2) Obligations to sponsors, funders and employers: Researchers should recognise their general and specific obligations to sponsors, funders and employers whether these are contractually defined or are only the subject of informal, and often unwritten, agreements. In particular:

(a) They should be honest about their qualifications and expertise, the limitations, advantages and disadvantages of their methods and data, and they should acknowledge the necessity for discretion with confidential information provided by sponsors and employers;

(b) They should not conceal personal or other factors which might affect the satisfactory conduct or completion of the proposed research project or contract.

(3) Negotiating 'research space': Researchers should be careful to clarify, preferably in advance of signing contracts or starting their research, matters relating to their professional domain and to control over the research project and its products:

(a) Researchers are entitled to full disclosure of the sources of funds, personnel, aims of the institution, the purpose(s) of the research project and the disposition of research results;

(b) They are entitled to expect from a sponsor, funder or employer a respect for their professional expertise and for the integrity of the data, whether or not these obligations are incorporated in formal contracts. Even when contractual obligations may necessitate the guarding of privileged information, the methods and procedures that have been utilised to produce the published data should not be kept confidential;

(c) They should pay particular attention to matters such as: their ability to protect the rights and interests of research participants; their ability to make all ethical decisions in their research; and their (and other parties') rights in data collected, in publications, copyright and royalties.

(4) Relations with gatekeepers: Where access to subjects is controlled by a national or local 'gatekeeper', researchers should not devolve their responsibilities onto the gatekeeper. Whilst respecting gatekeepers' legitimate interests, researchers should adhere to the principle of obtaining informed consent directly from subjects once access has been gained. They should be wary of inadvertently disturbing the relationship between subjects and gatekeepers since that will continue long after the researcher has left the field.

III. Relations With, and Responsibilities Towards, Colleagues and the Discipline

Scholars derive their status and certain privileges of access to research participants and to data not only by virtue of their personal standing but also by virtue of their professional citizenship. In acknowledging membership of a wider intellectual community researchers owe various obligations to that community and can expect consideration from it.

(1) Individual responsibility: Researchers bear responsibility for the good reputation of social science research and its practitioners. In considering their methods, procedures, content and reporting of their enquiries, behaviour in the field and relations with research participants and field assistants they should therefore try to ensure that their activities will not jeopardize future research.

(2) Conflicts of interest and consideration for colleagues: It should be recognised that there may be conflicts of interest (professional and political) between researchers from other countries and local researchers:

(a) Consideration for and consultation with researchers who have worked or are working in the proposed research setting is advisable and is also a professional courtesy;

(b) In cross-national research, consideration should be given to the interests of local scholars and researchers, to the problems that may result from matters such as the disparities in resources available to visiting researcher, and to problems of equity in collaboration. As far as is possible and practicable, visiting scholars should try and involve local scholars in their research activities but should be alert to the potential for harm that such collaboration might entail in some contexts.

(3) Sharing research materials: Researchers should give consideration to ways in which research data and findings can be shared with colleagues and with research participants:

(a) Research findings, publications and, where feasible, data should be made available in the country where the research took place. If necessary, it should be translated into the national or local language. Researchers should be alert, though, to the harm to research participants, collaborators and local colleagues that might arise from total or even partial disclosure of raw or processed data or from revelations of their involvement in the research project;

(b) Where the sharing with colleagues of raw, or even processed, data or their (voluntary or obligatory) deposition in data archives or libraries is envisaged, care should be taken not to breach privacy and guarantees of confidentiality and anonymity, and appropriate safeguards should be devised.

(4) Collaborative and team research: In some cases scholars will need to collaborate with researchers in other disciplines, as well as with research and field assistants, clerical staff, students etcetera. In such cases they should make clear their own ethical and professional obligations and similarly take account of the ethical principles of their collaborators. Care should be taken to clarify roles, rights and obligations of team members in relation to matters such as the division of labour, responsibilities, access to and rights in data and fieldnotes, publication, co-authorship, professional liability, etcetera.

(5) Responsibilities towards research students and field assistants: Academic supervisors and project directors should ensure that students and assistants are aware of the ethical guidelines and should discuss with them potential (as well as actual) problems which may arise during fieldwork or writing-up.

IV. Relations With Own and Host Governments

Researchers should be honest and candid in their relations with their own and host governments.

(1) Conditions of access: Researchers should seek assurance that they will not be required to compromise their professional and scholarly responsibilities as a condition of being granted research access.

(2) Cross-national research: Research conducted outside one's own country raises special ethical and political issues, relating to personal and national disparities in wealth, power, the legal status of the researcher, political interest and national political systems:

(a) International Development researchers should bear in mind the differences between the civil and legal, and often the financial, position of national and foreign researchers and scholars;

(b) They should be aware that irresponsible actions by a researcher or research team may jeopardise access to a research setting or even to a whole country for other researchers.

(3) Open research: Scholars owe a responsibility to their colleagues around the world not to use their role as a cover for clandestine research or activities.

(4) Legal and administrative constraints: Researchers should note that there may be a number of national laws or administrative regulations which may affect the conduct of their research, matters pertaining to data dissemination and storage, publication, rights of research subjects, of sponsors and employers, etcetera. They should also remember that, save in a very few exceptional circumstances, social research data are not privileged under law and may be subject to legal subpoena. Such laws vary by jurisdiction. Some which may have consequences for research and publication in the U.K. are, for example, the Data Protection Act, law of confidence, Race Relations Act, defamation laws, copyright law, law of contract, and the Official Secrets Act; in the U.S.A. particularly important are the federal regulations governing human subjects' research, the Privacy Act, the Freedom of Information Act and the Copyright Act.

V. Responsibilities to the Wider Society

Researchers also have responsibilities towards other members of the public and wider society. They depend upon the confidence of the public and they should in their work attempt to promote and preserve such confidence without exaggerating the accuracy or explanatory power of their findings.

(1) Widening the scope of social research: Researchers should use the possibilities open to them to extend the scope of social inquiry, and to communicate their findings, for the benefit of the widest possible community. Scholars are most likely to avoid restrictions being placed on their work when they are able to stipulate in advance the issues over which they should maintain control; the greatest problems seem to emerge when such issues remain unresolved until the data are collected or the findings emerge.

(2) Considering conflicting interests: Social inquiry is predicated on the belief that greater access to well-founded information will serve rather than threaten the interests of society:

(a) Nonetheless, in planning all phases of an inquiry, from design to presentation of findings, researchers should also consider the likely consequences for the wider society, groups within it, and possible future research, as well as for members of the research population not directly involved in the study and the immediate research participants;

(b) That information can be misconstrued or misused is not in itself a convincing argument against its collection and dissemination. All information is subject to misuse; and no information is devoid of possible harm to one interest or another. Individuals may be harmed by their participation in social inquiries, or group interests may be harmed by certain findings. Researchers are usually not in a position to prevent action based on their findings; but they should, however, attempt to pre-empt likely misinterpretations and to counteract them when they occur.

(3) Maintaining professional and scholarly integrity: Research can never be entirely objective - the selection of topics may reflect a bias in favour of certain cultural or personal values; the employment base of the researcher, the source of funding a various other factors may impose certain priorities, obligations and prohibitions - but scholars should strive for objectivity and be open about known barriers to its achievement:

(a) Researchers should not engage or collude in selecting methods designed to produce misleading results, or in misrepresenting findings by commission or omission;

(b) When it is likely that research findings will bear upon public policy and opinion researchers should be careful to state the significant limitations on their findings and interpretations.

Epilogue

The reputation of International Development research will inevitably depend less on what professional bodies assert about their ethical norms than on the conduct of individual researchers. These guidelines are aimed at helping researchers to reach an equitable and satisfactory resolution of their dilemmas. This statement of ideals does not impose a rigid set of rules backed by institutional sanctions, given the variations in both individuals' moral precepts and the conditions under which they work. Guidelines cannot resolve difficulties in a vacuum nor allocate greater priority to one of the principles than another. Instead, they are aimed at educating researchers, sensitizing them to the potential sources of ethical conflict and dilemmas that may arise in research, scholarship and professional practice, at being informative and descriptive rather than authoritarian or prescriptive. They aim to ensure that where a departure from the principles is contemplated or where the privileging of one group or interested party or parties is deemed situationally or legally necessary, the researcher's decisions should be based on foresight and informed deliberation.

ETHICAL REVIEW PROCEDURES FOR UNIVERSITY OF OXFORD RESEARCH IN THE SOCIAL SCIENCES

All University of Oxford research projects involving human participants or personal data, conducted by Oxford students or staff (including academic and research staff) require research ethics scrutiny and approval before the research starts.

- **Why is ethics scrutiny and approval important?**
 - It is part of the responsible conduct of research.
 - It demonstrates that your research has been conducted according to the highest ethical standards. It is important to protect the dignity, rights and welfare of all those involved in the research (whether they are participants, researchers or third parties)
 - It is a University requirement.
 - It is now the expectation - and in some cases formal requirement - of funding bodies.
 - If you are a DPhil student, you will have to answer a series of questions regarding ethical scrutiny of your research in your Transfer and Confirmation of Status application forms.

- **You need ethics approval if...**
 - Your research requires human subjects to participate directly by, for example,
 - answering questions about themselves or their opinions - whether as members of the public or in elite interviews.
 - performing tasks, or being observed - such as completing an online survey, participating in an experiment in a computer lab, reading words aloud for linguistic analysis.
 - *OR* your research involves data (collected by you or others) about identified or identifiable people.

PRS students should apply for research ethics approval at the time of transfer of status. M.Phil. to D.Phil. transfers should apply for approval in their first term as doctoral students. Applications should be made well in advance (*four weeks at a minimum*) of departure for fieldwork. There are two forms to be completed – CUREC 1a and CUREC 2. All students must complete CUREC 1a. CUREC 2 need only be completed under certain circumstances specified in the CUREC 1a form.

If the research changes substantially from when the first set of CUREC forms was submitted, students will need to complete a new set. For those who have gone from M.Phil. to D.Phil. where the M.Phil. thesis is being expanded, it is possible to continue with the M.Phil. CUREC form, but amendments will need to be made to cover whatever new work is being done in order to expand the research into the D.Phil. thesis. For example, your participant information will need to say that this research is being used for D.Phil.; that the finished thesis will be available on-line and to readers in the Bodleian; any changes of fieldwork sites should be noted; any changes to the project; an assessment of any other ethical issues that might arise; and if any of the data collected for the M.Phil. is being used, there will need to be a statement on how consent will be obtained from those participants, in order to include it in the D.Phil.

Details of the procedure and application forms may be downloaded from the 'Checklist and application forms' section of the CUREC website: <http://www.admin.ox.ac.uk/curec/>

1. A hard copy of the **CUREC 1a** form (and if necessary the CUREC 2 form) should be filled in by students and their supervisors and signed by both.
2. Students should **pass the completed forms to the Graduate Student Administrator, Dominique Attala**, who will pass them on to the Director of Doctoral Research and DGS.
3. The DDR will approve the forms and return them to Dominique Attala who will forward them to the Departmental Research Ethics Committee (DREC) for final approval.
4. If there are any problems with the forms, the DDR or DGS will discuss the relevant issues with the student and supervisor in order to reach a satisfactory resolution. Any questions from the DREC will be emailed by them directly to the student.
5. CUREC 2 forms require approval from the Interdisciplinary Research Ethics Committee (IDREC) for the Social Sciences Division. They should be submitted at least six weeks before starting any data gathering.
6. From the submission of the forms to their approval in straightforward cases, the process should be completed in four to six weeks. A letter confirming University approval of the project will be given to the student.

Some guidance on filling in the form and supporting materials to include can be found on the Departmental Weblearn site: <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/ethics>

APPENDIX XII: SAMPLE OF POSSIBLE COURSE OPTIONS FROM THE M.PHIL. FOR PRS QUALIFYING EXAMS

NOTE: – THIS LIST IS NOT FINAL. SOME CHOICES DEPEND ON STAFF AVAILABILITY AND MIGHT NOT BE AVAILABLE EVERY YEAR

M.Phil. First Year Foundation course in History and Politics (Dr. Miles Tendi)

Questions will be set on the themes of state formation and development; colonialism, collaboration, and resistance; nationalism, decolonisation; class formation, gender relations, and the formation of political identities; politics and policy. Students will be expected to show knowledge of the developments in countries from more than one of the following regions: Africa, South Asia, and Latin America.

M.Phil. First Year Foundation course in Economics (Prof. Doug Gollin, Prof. Diego Sanchez-Ancochea, Dr. Imane Chaara)

Questions will be set on the basic themes of macro- and micro-analysis for open, less developed economies. Topics may include national income accounting and analysis; macro-economic policy; theories of inflation and growth; supply and demand; theories of the firm; the functioning of markets, externalities and other market failures; theories of international trade; trade policy, exchange rates, and balance of payments management; the operation of the international monetary system. The emphasis will be on concepts and their application in the context of development.

M.Phil. First Year Foundation course in Social Anthropology (Prof Laura Rival)

Questions will be set on the perspectives of anthropology upon social change; personhood and wellbeing; social and personal agency, authority and responsibility in the field of productive activity; marriage, kinship, family and gender in theory and practice; agencies of managed change and their interaction with local communities.

M.Phil. First Year paper on Research Methods (Dr. Rosana Pinheiro-Machado and Prof. Xiaolan Fu)

Questions will be set on: Epistemology of social science, social science paradigms; ethics and values; quantitative methods; the presentation of statistical information, hypothesis testing; research design; sampling theory; questionnaire design; the critical reading of documents; participant observation; action research; rapid research; evaluation research.

M.Phil. Second Year Options (Note: these are subject to change each year and are not always available):

Affiliations are given for staff outside ODID. Please note that permission needs to be sought when choosing your course, particularly for those which are not internal to ODID. Other courses are available and your supervisor may suggest particular options.

- 1. Forced Migration: International Legal and Normative Framework** (Prof. Tom Scott-Smith, Course Director)
From the M.Sc. in Refugee and Forced Migration Studies. Please note, this option entails a heavy workload and class timetable.
International legal and normative framework in relation to refugees and displaced persons. International and domestic application of individual and group rights to displaced persons and refugees. Activities and involvement of the relevant international organs, governments, and intergovernmental and non-governmental organisations relevant to forced migration. Concepts of migration and intervention and their justifications. Evolution of humanitarian responses to forced migration. Organisational culture of assistance.
- 2. Forced Migration: Causes and Consequences of Forced Migration** (Prof. Tom Scott-Smith, Course Director)
From the M.Sc. in Refugee and Forced Migration Studies. Please note, this option entails a heavy workload and class timetable.
Theories of the causes of forced migration and humanitarian crises. Historical dimensions, political and social dynamics of forced migration. Social, political and cultural constructions of place and space. Impact of forced migration on gender relations and age structures. Coercion and conflict. Implications of forced migrants for conceptualising the modern state and the international order. Security and stability of states. Environmental and development-induced displacement. Poverty and vulnerability. Impact of forced migrants on host populations and governments. Ethical issues raised by migration. Agency, coping mechanisms and survival strategies of affected populations. Nationalism, ethnicity and group identity. Consequences of resettlement programmes for livelihood and economic autonomy. Repatriation and local-level social reconstruction. Institutional responses to forced migrants.
- 3. Economic Theory and**
- 4. Development Economics** (Prof. Christopher Adam, Course Director)
(Limited access: requires previous training in economics and passing a qualifying test in Trinity Term of first year).
These two options, from the MSc in Economics for Development, require the agreement of the M.Sc. course director, which will normally be given only to students with a first class single-discipline first degree in Economics, and may require a qualifying exam to be taken. For details of the content of these options, please see the course guide for the M.Sc. in Economics for Development, which is available from the Departmental website.
- 5. The History and Politics of South Asia** (Prof. Nandini Gooptu)
This option examines the political history, political sociology, political institutions and political economy of South Asia (India, Pakistan, Sri Lanka and Bangladesh) since 1947; the state, political institutions, party politics and 'movement' politics; conditions for democracy; the politics of gender, class, caste, religion and ethnicity; the evolution of political ideologies; social organisation, culture and identities as they bear on politics; the politics of 'development'.
- 6. The History and Politics of West Africa** (Prof. Abdul Raufu Mustapha)
This option examines the political history, political sociology, political institutions and political economy of West Africa since 1939, including nationalism and transfers of power; forms of government, civilian and military; parties and elections; conditions for democracy; class, ethnicity, religion and gender; business, labour and peasantry; agricultural policies and economic reforms; West African regional politics and institutions and the influence of external agencies. Candidates will be required to show knowledge of Nigeria and of at least one Francophone country.

8. **The Indian State: From Developmentalism to Liberalisation** (Prof. Nikita Sud)
This option examines the Indian state over the 60-year post-colonial period, tracing the shift from interventionist developmentalism to economic liberalisation. It addresses theoretical debates about the nature and role of the state, and topics such as the grand visions of secularism, developmentalism, modernisation and liberalisation; actors and institutions such as the bureaucracy, political parties, judiciary and middlemen; and practices, policies and politics of the state in relation to big capital, farmers, labour, 'the poor' and India's South and East Asian neighbours.
9. **Gender and Development** (Prof. Masooda Bano and Dr. Maria Jaschok)
This option examines key concepts in gender and development relating to: population; land-use and the environment; employment, assets, markets and credit; social issues; civil society; violence and conflict; political organisation and theories of power.
10. **Poverty and Human Development** (Dr. Sabina Alkire)
This option examines human development, seen as the expansion of capabilities or intrinsically valued freedoms, and scrutinizes the instrumental interrelationships between dimensions of poverty. It covers key topics and debates such as ethical foundations of human development; the interconnections between dimensions of poverty; multidimensional measures of poverty and inequality; and agency, empowerment and democratic practice. It explores particular cases in depth and addresses selected policy issues.
11. **Politics of the Poor** (Dr. Indrajit Roy)
This option aims to introduce students to the different analytical approaches to studying how poor people interpret, experience and 'do' politics. Over the last two decades, therefore, a number of conceptual advances have been made in respect of understanding how the world's poor seek to improve their livelihoods, assert their public presence, and stake their claims to equality and citizenship, even as they face enormous constraints on their agency by states, markets and societal elites. The course draws on the disciplines of politics, sociology and anthropology. It covers material from across the developing world.
12. **Social Movements** (Dr. Rosana Pinheiro-Machado)
The course is divided into four parts. In the first and introductory part of the course, there will be a theoretical introduction to the basis of social theory of radical change, focusing on Marxism (e.g. Marx, Gramsci) and Anarchism (e.g. Bakunin, Graeber), and how these schools have been influencing (or not) social movements around the world since the beginning of the 20th century. The core focus of the course, which will be covered in parts two, three and four, will be contemporary social movements, covering the period from 1980s to the present. The second part of the course will examine social movements and identity (ethnicity, gender, anti-globalisation movement, grassroots movements, worker unionism, World Social Forum, etc.) The third part will cover key mass protests that emerged during the 21st century. The final section will consider urban social movements and the struggle for land and property.
13. **Introduction to Latin American Economies** (Prof. Diego Sanchez Ancochea)
From the MPhil in Latin American Studies.
Prior knowledge of economics is required; candidates with limited reading knowledge of Spanish should consult the course director of the MPhil in Latin American Studies before applying to take this option.
This option covers the main trends in the evolution of Latin American economies in the twentieth century. Themes include export economies, import substituting industrialisation, the impact of external shocks, integration movements, the role of international agencies, and trends in poverty and income distribution.
14. **The Political Economy of the Middle East and North Africa** (Dr. Adeel Malik)
This course introduces the political economy of the Middle East and North Africa (MENA) using a multidisciplinary approach. It will engage students with the main theoretical and empirical debates on the subject and will cover a range of topics, including a brief economic history of the region; economic growth and fluctuations; the political economy of oil; economic adjustment and reform; state-business relationship in the Middle East; key issues around food, agriculture and water; poverty and human development; labour markets in MENA.

APPENDIX XIII: POLICY ON THE RECORDING OF LECTURES AND OTHER FORMAL TEACHING SESSIONS BY STUDENTS

Introduction

1. The University recognises that there are a number of reasons why students might wish to record lectures or other formal teaching sessions (such as seminars and classes) in order to support their learning. The University also recognises that in most cases copyright in lectures resides with the University or with the academic responsible for the lecture or formal teaching session, and that academics and students may have concerns about privacy and data protection. This policy sets out the circumstances in which such recordings may take place; the respective roles and responsibilities of those involved in such recordings; and the implications of breaches of this policy.
2. For the purposes of this policy, the term 'recording' refers to any audio or visual recording of a lecture or other formal teaching session, made with any type of audio or visual recorder.

Permission to record a lecture or other formal teaching session

3. Students who have been given permission to record lectures or other formal teaching sessions as a reasonable adjustment on disability-related grounds do not need to ask for permission to record from individual academics. Students who believe they have disability-related grounds for recording should contact the University's Disability Advisory Service (<http://www.ox.ac.uk/students/welfare/disability/study> or disability@admin.ox.ac.uk) for further information on the process for obtaining such permission.
4. Students may request permission to record any lectures or other formal teaching sessions. All such requests should be made in writing (including by email) prior to the lecture course or equivalent, to the academic responsible. Subject to paragraph 3 above, the decision on whether to grant permission is at the discretion of the academic. Students may only record lectures where the academic responsible for the session has given their consent prior to the start of the lecture in writing (e.g. By email), and recordings of lectures may not be made by students unless this consent has been given. Retrospective requests are not permissible under this policy and covert recording of lectures will be treated as a disciplinary offence.
5. Students granted permission in writing to record a formal teaching session other than a lecture should ask the session leader to check at the start of the session that there are no objections from others present to a recording being made.
6. Where recordings are made available routinely by departments and faculties, students may not make personal recordings unless they have been given permission to record as a reasonable adjustment.

Use of recordings

7. Recordings of lectures or other formal teaching sessions may only be made for the personal and private use of the student.
8. Students may not:
 - (a) pass such recordings to any other person (except for the purposes of transcription, in which case they can be passed to one person only);
 - (b) publish such recordings in any form (this includes, but is not limited to, the internet and hard copy publication).
9. Students may store recordings of lectures for the duration of their programme of study. Once they have completed the programme of study, students should destroy all recordings of lectures or other formal teaching sessions.

Implementation

10. Where a student breaches this policy, the University will regard this as a disciplinary offence. All such breaches will be dealt with in accordance with Statute XI (<http://www.admin.ox.ac.uk/statutes/352-051a.shtml>).

[Specimen of title page of thesis]

Title of Thesis

*Thesis submitted in partial fulfilment of the requirements
for the Degree of Doctor of Philosophy*

by

Candidate's Name

DECLARATION OF AUTHORSHIP

Name (in capitals):

Candidate number:

College (in capitals):

Supervisor(s) of thesis/essay:

Title of thesis (in capitals):

Word count: _____

There is extensive information and guidance on academic good practice and plagiarism on the University website: <www.admin.ox.ac.uk/epsc/plagiarism>. You must read all information contained here, and complete the on-line plagiarism course.

Please tick to confirm the following:

I am aware of the University's disciplinary regulations concerning conduct in examinations and, in particular, of the regulations on plagiarism (c.f. The Proctors' and Assessor's Memorandum, Section 9.6 at www.admin.ox.ac.uk/proctors/info/pam/section9.shtml).

The thesis I am submitting is entirely my own work except where otherwise indicated.

It has not been submitted, either wholly or substantially, for another degree of this University, or for a degree at any other institution.

I have clearly signalled the presence of quoted or paraphrased material and referenced all sources.

I have acknowledged appropriately any assistance I have received in addition to that provided by my supervisor(s).

I have not sought assistance from any professional agency.

I have not repeated any material from other pieces of work that I have previously submitted for assessment for this degree, except where permitted.

I agree to retain an electronic copy of this work until the publication of my final examination result, except where submission in hand-written format is permitted. I agree to make any such electronic copy available to the examiners should it be necessary to confirm my word count or to check for plagiarism.

Candidate's signature:

Date:

APPENDIX XV: AVOIDANCE OF PLAGIARISM

All new students must read the information provided by the University online about avoiding plagiarism. They must all take the first online tutorial on avoiding plagiarism (Avoiding Plagiarism 1): <https://weblearn.ox.ac.uk/portal/hierarchy/skills/plag>, - you will need your single sign-on username and password to access the site. On completing the course, you must print out the certificate of completion and give it to Dominique.

There is extensive guidance on the avoidance of plagiarism on the University website: www.ox.ac.uk/students/academic/guidance/skills Please ensure that you read the Proctors' and Assessor's *Essential Information for Students*, www.admin.ox.ac.uk/proctors/info/pam/

(plagiarism dealt with in section 9.5) and also the Education Committee's information on plagiarism at www.ox.ac.uk/students/academic/goodpractice/

To avoid plagiarism, it is important for all students within individual subject areas to be aware of, and to follow, good practice in the use of sources and making appropriate reference. You will need to exercise judgement in determining when reference is required, and when material may be taken to be so much a part of the 'general knowledge' of your particular subject that formal citation would not be expected. The basis on which such judgements are made is likely to vary slightly between subject areas, as may also the style and format of making references. Your supervisor will be in the best position to advise you on such matters.

By following good practice in your subject area you should develop a rigorous approach to academic referencing, and avoid inadvertent plagiarism. Cases of apparently deliberate plagiarism, while happily infrequent in the University, are taken extremely seriously, and where examiners suspect that this has occurred, they bring the matter to the attention of the Proctors.

APPENDIX XVI: INFORMATION ON THE M.LITT. DEGREE

The rules for the M.Litt. are set out in the [Examination Regulations](#). After transfer to M.Litt. status, the thesis can normally be submitted by a student after six terms of residence and within nine terms from first registration as a PRS (or first registration as an M.Phil. student, if a student transfers from an M.Phil. to the M.Litt.). M.Litt. students whose work is likely to exceed nine terms can apply for an extension of time to the Graduate Studies Committee. The maximum permitted time for study, including extensions, is twelve terms, but the Committee will normally recommend an extension of one term initially. Further terms will require increasingly good reasons.

The maximum length of an M.Litt. thesis is 50,000 words, and permission to exceed it is rarely given. In other respects the guidelines for thesis presentation are the same as those for a D.Phil. thesis. A candidate who has been awarded an M.Litt., cannot use the same topic for a D.Phil. thesis. The requirements for award of the M.Litt. degree are as follows:

- the candidate possesses a good general knowledge of the field of learning within which the subject of the thesis falls
- the candidate has shown competence in investigating the chosen topic
- the candidate has made a worthwhile contribution to knowledge or understanding in the field of learning within which the subject of the thesis falls
- the thesis is presented in a lucid and scholarly manner, and
- it merits the award of the degree of Master of Letters

M.Litt. examiners are asked to bear in mind that their judgement of the extent of the candidate's contribution to knowledge or understanding of the relevant field of learning should take into account what may reasonably be expected of a capable and diligent student after two years of full-time study.

APPENDIX XVII: COMPLAINTS AND ACADEMIC APPEALS

1. The University, the Social Sciences Division and Oxford Department of International Development all hope that provision made for students at all stages of their programme of study will make the need for complaints (about that provision) or appeals (against the outcomes of any form of assessment) infrequent.
2. Nothing in the University's complaints procedure precludes an informal discussion with the person immediately responsible for the issue that you wish to complain about (and who may not be one of the individuals identified below). This is often the simplest way to achieve a satisfactory resolution.
3. Many sources of advice are available within colleges, within faculties/departments and from bodies like Student Advice Service provided by OUSU or the Counselling Service, which have extensive experience in advising students. You may wish to take advice from one of these sources before pursuing your complaint.
4. General areas of concern about provision affecting students as a whole should, of course, continue to be raised through Joint Consultative Committees or via student representation on the faculty/department's committees.

Complaints

5. If your concern or complaint relates to teaching or other provision made by the Department, then you should raise it with your Course Director (DDR) or with the Director of Graduate Studies as appropriate. Within the department the officer concerned will attempt to resolve your concern/complaint informally.

6. If you are dissatisfied with the outcome, then you may take your concern further by making a formal complaint to the University Proctors. The procedures adopted by the Proctors for the consideration of complaints and appeals are described on the Proctors' webpage (www.admin.ox.ac.uk/proctors/complaints/proceduresforhandlingcomplaints/), the Student Handbook (www.admin.ox.ac.uk/proctors/pam) and the relevant Council regulations (www.admin.ox.ac.uk/statutes/regulations/247-062.shtml).

7. If your concern or complaint relates to teaching or other provision **made by your college**, then you should raise it either with your tutor or with one of the college officers, Senior Tutor, Tutor for Graduates (as appropriate). Your college will also be able to explain how to take your complaint further if you are dissatisfied with the outcome of its consideration.

Academic appeals

8. An appeal is defined as a formal questioning of a decision on an academic matter made by the responsible academic body.

9. For undergraduate or taught graduate courses, a concern which might lead to an appeal should be raised with your college authorities and the individual responsible for overseeing your work. **It must not be raised directly with examiners or assessors.** If it is not possible to clear up your concern in this way, you may put your concern in writing and submit it to the Proctors via the Senior Tutor of your college.

10. For the examination of research degrees, or in relation to transfer or confirmation of status, your concern should be raised initially with the Director of Graduate Studies. Where a concern is not satisfactory settled by that means, then you, your supervisor, or your college authority may put your appeal directly to the Proctors.

11. As noted above, the procedures adopted by the Proctors in relation to complaints and appeals are described on the Proctors' webpage (www.admin.ox.ac.uk/proctors/complaints/proceduresforhandlingcomplaints/), the Student Handbook (www.admin.ox.ac.uk/proctors/pam) and the relevant Council regulations (www.admin.ox.ac.uk/statutes/regulations/247-062.shtml).

12. Please remember in connection with all academic appeals that:

- The Proctors are not empowered to challenge the academic judgement of examiners or academic bodies.
- The Proctors can consider whether the procedures for reaching an academic decision were properly followed; i.e. whether there was a significant procedural administrative error; whether there is evidence of bias or inadequate assessment; whether the examiners failed to take into account special factors affecting a candidate's performance.
- On no account should you contact your examiners or assessors directly.

APPENDIX XVIII: FIELDWORK SAFETY AND TRAVEL INSURANCE

All research students undertaking fieldwork abroad are required to read the Safety in Fieldwork notes and to complete the Safety in Fieldwork questionnaire, Travel Insurance application and Risk Assessment form, the latter requiring you to set out the significant safety risks associated with your research, the arrangements in place to mitigate those risks and the contingency plans for if something goes wrong. When discussing your research with your supervisor please think about the safety implications of where you are going and what you are doing. Thorough preparation can pre-empt many potential problems. We also need accurate information on where you are, and when and how to

contact you while you are away. The travel assessment process should help to plan your fieldwork by thinking through arrangements and practicalities.

They must also complete the Research Ethics (CUREC form – see Appendix XI for full information about the procedures for this form) before their fieldwork can be approved. These items are all either on the Departmental Weblearn: <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh> or, in the case of the CUREC forms, there is a link to the relevant website.

Training is recommended as part of your preparation; even if you are familiar with where you are going, there may be risks associated with what you are doing. The Department runs one session in Hilary Term for the M.Phil. students which must also be attended by research students who have not attended before. Details on the day and time will be circulated once arrangements have been confirmed.

The Doctoral Training Centre (DTC) runs termly courses for which you will receive invitations to sign up: 'Preparation for safe and effective fieldwork in Social Sciences' is a half day course for those carrying out medium to high risk research in rural and urban contexts; and 'How do we deal with what we hear?' is for those researching in traumatic or distressing topic areas. You can find the forthcoming courses listed here: <http://researchtraining.socsci.ox.ac.uk/find-training/training-by-date-calendar>

The University's Safety Office also runs termly courses on 'Emergency First Aid for Fieldworkers' and 'Fieldwork Safety Overseas' which is a full day course geared to expedition based fieldwork www.admin.ox.ac.uk/safety/overseastravelfieldwork/

Supervisors of all students should consider the safety implications of their students' research carefully, particularly in relation to any field research undertaken in the context of thesis preparation. Students undertaking field work must be adequately insured, and supervisors should ensure that this is the case. It is strongly recommended that students secure cover from the University's insurance scheme. Advice on the legal responsibilities for safety may be obtained from the University Safety Officer.

Particular problems arise if a student wishes to work in areas deemed to be unsafe by the Foreign and Commonwealth Office (FCO). Information about worldwide travel and safety advice can be found on the internet under Foreign Office Travel Advice. Students may not get insurance cover for travel to such areas. The ODID Head of Department has to support such travel, which then has to be cleared with the University's Safety Office. Students intending to travel to such areas must submit their fieldwork safety and risk assessment forms to the Director of Graduate Studies at an early stage so that safety and insurance issues can be dealt with in good time. It is possible that permission to travel to such areas may not be granted.

For their part, students must carry out field research with proper regard to good health and safety practices. Supervisors and students should be aware of the need for adequate health precautions when travelling abroad. Students must make an appointment at the Occupational Health Service prior to any fieldwork for advice on travel immunisation. See the website on services available and for forms required: www.admin.ox.ac.uk/uohs/at-work/travel/ There is also a useful guide entitled 'Travel Tips' at: www.admin.ox.ac.uk/uohs/at-work/travel/tips

The risk assessment form must be completed with reference to the Foreign and Commonwealth Office (FCO) [travel advice page](#) for the country or countries being visited. **If you are travelling to a country or part of a country which has FCO advice against travel, please discuss with your supervisor. You must ensure that your risk assessment form includes extremely detailed information either to confirm that you are not travelling to the particular place advised against, or that you will be taking specific precautions against the particular risk.**

All forms must be approved before departure. These forms are regularly updated, so students must **download and fill in the most up-to-date forms** from the Department's WebLearn pages for [safety and travel](#). Please see Appendix XI for where to find CUREC forms.

Travel forms must be completed, signed, and handed in at least four weeks before travel. If you are travelling to a country with FCO warnings, you must hand the forms in at least SIX weeks before travel.

Some useful websites:

Divisional information: www.socsci.ox.ac.uk/services/research-and-impact/fieldwork/fieldwork

University Policies: www.admin.ox.ac.uk/safety/policy-statements

FCO Travel advice: www.gov.uk/foreign-travel-advice

Women travellers: www.gov.uk/government/policies/supporting-british-nationals-overseas/supporting-pages/advice-for-women-travellers

and saferbusinesstravelforwomen.com/principles

APPENDIX XIX: USEFUL UNIVERSITY WEB ADDRESSES

Oxford Students

www.ox.ac.uk/students

Very useful as it contains a large amount of relevant information and links to other sites, and to Student Self-Service. In particular, look in the Graduates section of 'Academic Guidance', and for international students, the advice on visas and immigration.

Health and Welfare

www.ox.ac.uk/students/shw

includes information on health, disability advisory service, counselling service, childcare services.

Oxford University Statutes and Regulations website

www.admin.ox.ac.uk/statutes/regulations

Oxford University Diversity and Equal Opportunities Unit

www.admin.ox.ac.uk/eop

This contains information on a variety of matters.

Oxford University Proctors' Office

www.admin.ox.ac.uk/proctors

This contains information about plagiarism, complaints procedures and various other matters

Oxford University Research Services

www.admin.ox.ac.uk/rso

Occupational Health

www.admin.ox.ac.uk/uohs

The occupational health services provides specialist occupational health medical advice to all employees of the University and to other members of the University under certain circumstances. The Occupational Health Service does not undertake general practice services, first aid, or emergency treatment.

Bodleian Library

www.bodleian.ox.ac.uk/bodley

Careers Service

www.careers.ox.ac.uk

IT Services

(www.it.ox.ac.uk)

IT Learning Programme

www.oucs.ox.ac.uk/itlp

Language Centre

www.lang.ox.ac.uk

Oxford Learning Institute

www.learning.ox.ac.uk

The Institute exists to support the quest for excellence in learning, teaching, and research at the University. It has three primary aims, all of which are of equal importance and in many respects overlap. They are: to foster a research-informed approach to learning and teaching and to the development of educational policy; to conduct research into approaches to learning and teaching in Oxford, and in higher education more generally; to promote and facilitate the professional and vocational development of all of the University's staff.

Information on Data Protection

www.admin.ox.ac.uk/councilsec/dp/index.shtml

This contains information on a key piece of UK legislation the Data Protection Act 1998

Social Sciences Division

www.socsci.ox.ac.uk

Oxford Department of International Development:

www.qeh.ox.ac.uk

APPENDIX XX: USE OF DISPLAY SCREEN EQUIPMENT

Please refer to ODID Weblearn pages for [Display Screen Equipment](#) notes, and [University Policy Statement S3/03](#) (Display Screen Equipment): www.admin.ox.ac.uk/safety/policy-statements/s8-09/

Possible Health Effects of DSE Work

The Display Screen Equipment regulations apply to USERS. These are defined as employees, including 'temps', who are using DSE for continuous spells of an hour or more at a time and on a regular daily basis. The department has carried out an assessment of all work stations in order to evaluate any hazards and to ensure that the regulations are being met. However, with changes in staff, existing arrangements may not be appropriate for you. This note is to help you make an assessment of your own work station. Please read carefully.

Upper Limb Conditions

Various "work related upper limb disorders" are said to be associated with DSE use, although the medical source of these problems is complex. However, some users may experience discomfort, perhaps associated with postural, environmental and personal factors. Any users who experience difficulty should notify their area safety representative who will contact one of the DSE assessors. If the problem cannot be rectified locally the assessor will contact the departmental Administrator who will organise any modifications necessary. In extreme cases the employee may be referred to the University Health Physician for advice.

Eye Effects

There are no known adverse effects on the eye or eyesight due to DSE work. However, some users experience temporary visual fatigue leading to eye discomfort and may require advice on reducing this effect. Existing eye conditions are not made worse by DSE work, but it is logical to use the appropriate sight correction for such work, as would be expected with any other job needing visual skills.

Fatigue or "stress" associated with DSE work may be connected with the general work environment or with the machine software. Discussion with the appropriate line manager should identify the areas of concern which can be adjusted or improved.

Breaks/changes of activity

Regular formalised breaks from DSE work should rarely be needed in the department. Informal breaks, i.e. the time spent on tasks other than viewing the screen, are the most effective means of avoiding fatigue. Breaks should allow users to vary their posture.

The activities of users should be planned so that adequate breaks or change of activity are achieved as part of their normal working pattern.

Requirements for Workstation

Work stations should encourage efficiency while providing a safe and comfortable environment.

Display screen

The display screen should be stable with no flickering and the characters well-defined and clearly formed. The contrast should be easily adjustable by the user and the screen should swivel/tilt easily and be free of reflective glare.

Keyboard

The keyboard should be tiltable to allow the user to find a comfortable working position and the space in front of the keyboard sufficient to provide support for the hands and arms of the user. The symbols on the keys should be legible and free from reflective glare.

Work desk or surface and seating

The desk should be large enough to allow a flexible arrangement of screen, keyboard and documents. A document holder will be provided if required.

The seat should be stable and adjustable in height and the seat back adjustable in height and tilt. A footrest will be provided if required.

General Environment

The workstation should be such that the user can change routine and vary movements. Lighting should be adequate for the type of work and the vision requirements of the user. Possible glare or reflection on the screen should be prevented by co-ordinating workstation layout with a light source. Windows should be covered appropriately where necessary.

All workstations should conform to the above standards (for full details see University Policy Statement S3/03). Information for employees using workstations at home is outlined in University Policy Statement S7/03.

An on-line DSE self-assessment form will be sent to you at some time during the year.

The DSE advisors are members of staff who have attended a course on workstation requirements. They are:

DSE representative: Ms. Rachel Crawford, Room 30.16, Mansfield Road, ☎(2) 81821

A hard copy of the completed form should be sent to your DSE advisor, who will inform the Administrator, ODID. If the problem cannot be resolved through discussion or consultation with a DSE advisor or the DSE representative, the matter will be referred to the Occupational Health Service.

APPENDIX XXI: COPYRIGHT GUIDELINES FOR PHOTOCOPYING AND SCANNING

Photocopying and scanning under the CLA Higher Education Licence

The University holds a licence from the [Copyright Licensing Agency](#) (CLA) which permits the photocopying and scanning of limited extracts from most copyright-protected books, journals, law reports, conference proceedings and magazines for use by students and the course tutor on registered taught courses and non-credit-bearing short courses.

The proportion of a work that may be photocopied and/or scanned consists of:

One whole chapter of a book

- One whole article from a journal issue
- A short story or poem (not exceeding 10 pages in length) from an anthology
- One whole paper from a set of conference proceedings

- One whole report of a single case from a volume of judicial proceedings
- or 5% of any of the above, whichever is the greater.

With the exception of those works listed in the 'List of Excluded Categories and Works' and the 'List of Excluded US Publishers', both published on the CLA website, the licence for photocopying covers material published in the United Kingdom, Argentina, Australia, Austria, Barbados, Belgium, Canada (including Quebec), Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Jamaica, Japan, Luxembourg, Mexico, the Netherlands, New Zealand, Norway, Singapore, South Africa, Spain, Sweden, Switzerland, Taiwan (R.O.C), Trinidad and Tobago, and the USA (as also published on the CLA website under the heading 'International Territories' and added to from time to time).

Please note that the licence **does not cover** material already in digital form e.g. electronic journals and material available on the Internet.

It also **does not cover** newspapers, maps, printed music or works listed on the CLA's Excluded Works list - http://www.cla.co.uk/licences/excluded_works/excluded_categories_works

Course of study

Multiple copies must be distributed only to registered students and members of staff with strict reference to a Course of Study. A Course of Study refers to any segment of a student's programme of study which, for purposes of examination and/or assessment, is a discrete and self-contained unit.

Scanning for teaching purposes

The licence also permits some copyright PRINT (*not* digital) material published in the UK, the USA and a reduced list of other countries (see the CLA website under '[International Territories](#)') to be made available in digital format to students through the virtual learning environment (VLE). The University must keep detailed records of all items scanned under this licence and ***such scanning may only be carried out by the person(s) designated to do so in your department or college***; for details as to who these are, please contact: ODID IT OFFICER: IT-support@geh.ox.ac.uk

The material must be held in a password-protected environment accessible only to students on the relevant course. If you wish to make digital copies available to students on a course of study, you should contact the above person for further details of the service. Members of staff not appointed as a Designated Person, and all students, are not permitted to scan under this licence. If they should do so – and do not seek the written permission of the rights owner – they may be putting themselves and the University at risk of a claim for infringement of copyright law.

APPENDIX XXII: STATEMENT OF POLICY AND PROCEDURE ON CONFLICT OF INTEREST

This document sets out the following:

- A. Policy Statement
- B. Scope
- C. Recognising Conflict of Interest
- D. Procedure
- E. The role and remit of the Conflict of Interest Committee

Illustrative examples and further procedural guidance are set out in the Appendices.

A. Policy Statement

1. Oxford University is a major research university with global reach and influence. It encourages members of its staff to engage in a wide variety of external activities, such as serving on government, business and community boards, providing expert advice, media commentary, professional practice, schools outreach, international projects and collaborations with the commercial world, including via consultancy, research and development, intellectual property (IP) licensing and involvement in 'spinout' companies.

2. The University considers that such activities are in the public interest and are also of benefit to the University and the individuals concerned.
3. On occasion, however, they may give rise to conflicts of interest, whether potential or actual, perceived or alleged.
4. All University staff and students are required to recognise and disclose activities that might give rise to conflicts of interest or the perception of conflicts and to ensure that such conflicts are seen to be properly managed or avoided.
5. If properly managed, activities can usually proceed as normal whilst at the same time upholding the person's obligations to the University, meeting regulatory and other external requirements and protecting the integrity and reputation of the University and its members. By contrast, conflicts which are not managed effectively may jeopardise the University's public standing and may cause serious damage to the reputation of the University and of the individuals concerned.
6. It is therefore the University's policy to encourage and foster external activities whilst ensuring that when conflicts or perceived conflicts of interest arise they are acknowledged and disclosed, and in relevant cases, properly managed.

B. Scope

7. This Policy applies to all staff and students of the University, to all external members of Council and its committees and all others working in the University, such as faculty members who hold grants but are not current members of staff of the University, for example retired members who are still conducting research. It also applies to the staff and directors of subsidiary companies of the University. A reference in this Policy to staff or students includes any person within the scope of the Policy.
8. It is the responsibility of each individual to recognise situations in which he or she has a conflict of interest, or might reasonably be seen by others to have a conflict, to disclose that conflict to the appropriate person and to take such further steps as may be appropriate as set out in more detail under the procedure below (see further in Section D below).
9. If an individual is uncertain about how this Policy might affect his or her activities or has any questions about its application, he or she should contact the appropriate person (as set out in paragraph 19) or the Secretary of the Committee on Conflict of Interest.

C. Recognising Conflict of Interest

10. A conflict of interest arises where the commitments and obligations owed by an individual member of staff or student to the University or to other bodies, for example a funding body, are likely to be compromised, or may appear to be compromised, by:
 - 10.1 that person's personal gain, or gain to immediate family (or a person with whom the person has a close personal relationship)*, whether financial or otherwise; or
 - 10.2 the commitments and obligations that person owes to another person or body.
11. There can be situations in which the appearance of conflict of interest is present even when no conflict actually exists. Thus it is important for all staff and students when evaluating a potential conflict of interest to consider how it might be perceived by others.
12. The duty to declare a possible conflict applies to the perception of the situation rather than the actual existence of a conflict. However, the duty is not infringed if the situation cannot reasonably be regarded as likely to give rise to a conflict of interest.
13. Conflicts of interest may be financial or non-financial or both. Further information about both types is set out below.

Financial conflicts of interest

14. A financial conflict of interest, for the purposes of this Policy, is one where there is or appears to be opportunity for personal financial gain, financial gain to close relatives or close friends, or where it

might be reasonable for another party to take the view that financial benefits might affect that person's actions.

15. Financial interest means anything of monetary value, for example:

15.1 payments for services;

15.2 equity interests (e.g. stocks, stock options or other ownership interests); and/or

15.3 intellectual property rights (e.g. patents, copyrights and royalties from such rights).

16. The level of financial interest is not the determining factor as to whether a conflict should be disclosed. What might be 'not material' or 'not significant' for one person might be very significant for another. Good practice in many situations will mean the disclosure of 'any' financial interest, however small. A conflict will arise if the interest might provide, or be reasonably seen by others, to provide an incentive to the individual which affects their actions and where he or she has the opportunity to affect a University decision or other activity (because for example he or she is the decision-maker or the principal investigator on a research project). For examples of conflicts involving financial interest see Appendix A.

Non-financial conflicts of interest

17. Non-financial interests can also come into conflict, or be perceived to come into conflict, with a person's obligations or commitments to the University or to other bodies, for example the individual's college or other body of which he or she is a trustee. Such non-financial interest may include any benefit or advantage, including, but not limited to, direct or indirect enhancement of an individual's career, education or gain to immediate family (or a person with whom the person has a close personal relationship)*. For examples of non-financial conflicts of interest see Appendix A.

D. Procedure

18. It is the duty of every member of staff or student to disclose any conflict of interest or any circumstances that might reasonably give rise to the perception of conflict of interest. Apparent or perceived conflicts of interest can be as damaging as actual conflicts of interest.

19. The general rule, with the exception of committee business (see paragraph 28), is that disclosure should be made at the time the conflict first arises, or it is recognised that a conflict might be perceived, in writing to the Head of Department (or equivalent). If the Head of Department (or equivalent) has an interest in the matter to be discussed, the disclosure shall be made to the person at the next higher level of authority. In most cases this will be to the Head of Division. For University Senior Officers, the line of approval is noted in Council's Standing Orders. Exceptions to this rule are outlined in Appendix B.

20. In the case of undergraduate students, the student should discuss the relevant issues with his or her Tutor or Senior Tutor, who, where appropriate, will consult with the Head of Department following which an approach for dealing with the conflict might be agreed. In the case of postgraduate students, this discussion should be had with the student's supervisor. Where the conflict of interest arises between the interests of the supervisor and the student, the student should discuss the matter with the Senior Tutor or Tutor for Graduates, or the person responsible for postgraduate students in the department, for example the Director of Graduate Studies.

21. Many situations will require nothing more than a declaration and a brief written record of that declaration, which must be held in the department's or college's records.

22. Some instances will however need to be dealt with by agreeing how the conflict can be actively managed. The approach adopted should be documented and copies provided to the relevant parties. A copy of the final plan must be held in the department's records. One or more of the following strategies may be appropriate to manage the conflict of interest:

22.1 not taking part in discussions of certain matters;

22.2 not taking part in decisions in relation to certain matters;

22.3 referring to others certain matters for decision;

22.4 resolving not to act as a particular person's supervisor;

22.5 divesting or placing in trust certain financial interests;

22.6 publishing a notice of interest;

- 22.7 standing aside from any involvement in a particular project; and/or
22.8 declaring an interest to a particular sponsor or third party.
23. It is the responsibility of those affected to comply with the approach that has been agreed.
24. Any unresolved matter shall be referred to the Conflict of Interest Committee for advice. In cases of particular difficulty, the Conflict of Interest Committee may refer its recommendations to the General Purposes Committee of Council (GPC) for advice or resolution.
25. Guidance on situations that are frequently encountered and which may give rise to particular kinds of conflicts requiring special action is set out at Appendix A.
26. There are however some particular instances where the general procedure is varied and further specific steps are required such that approval is obtained not only from the Head of Department (or equivalent) but from a designated University official, as set out in the table at Appendix B.
27. Each Head of Division will be asked to inform the Conflict of Interest Committee of the actions taken to inform staff of the policy requirements and promote compliance.
28. Committee meetings:
- 28.1 at their first meeting of the academic year, each committee within the University should have a standing item on their agenda about conflict of interest. This item should cover what a conflict of interest is and how the members of the committee should declare such an interest if and when such a circumstance arises;
 - 28.2 it is also recommended that committees adopt the practice of including a similar statement to the following in each agenda:
'Members of [Name] Committee will be asked to declare any interest that could give rise to conflict in relation to any item on the agenda at the beginning of the item in question. All interests so disclosed will be recorded in the minutes of the Committee. If the chairman of the meeting deems it appropriate, the member shall absent himself or herself from all or part of the Committee's discussion of the matter.'
29. Annual declaration of external interests: in addition to declaring any conflict or potential conflict in accordance with the procedure above, the following postholders shall be required to submit an annual declaration of external interests to the Conflict of Interest Committee:
- 29.1 the Vice-Chancellor;
 - 29.2 the the Pro-Vice-Chancellors (Planning and Resources), (Personnel and Equality), (Research, Academic Services and University Collections), (Education), and (Development and External Affairs);
 - 29.3 the Registrar;
 - 29.4 all members of Council;
 - 29.5 all members of the Audit and Scrutiny Committee;
 - 29.6 the Proctors and Assessor;
 - 29.7 the Heads of Divisions;
 - 29.8 Chairs of such other bodies which govern the University's affairs, and such senior officers as shall be specified by Council in consultation with the Committee on Conflict of Interest from time to time;
 - 29.9 directors of subsidiary companies of the University; and
 - 29.10 members of the Conflict of Interest Committee.
30. Persons with grounds to inspect declarations of conflict of interest shall be allowed access at the discretion of the Chairman of the Conflict of Interest Committee.

E. The role and remit of the Conflict of Interest Committee

31. The University has established a Conflict of Interest Committee to advise University bodies, ISIS Innovation Ltd, appointing authorities, and individual staff members or students (in appropriate circumstances).

32. The Committee shall be responsible for:
- 32.1 advising University bodies, ISIS Innovation Ltd, appointing authorities, and individual staff members or students (in appropriate circumstances);
 - 32.2 monitoring the University's Policy on Conflict of Interest and making recommendations in the light of experience, and of good practice guidelines established by outside bodies;
 - 32.3 ensuring that there are appropriate systems in place to promote and monitor compliance with the Policy on Conflict of Interest;
 - 32.4 reviewing Annual Declarations of External Interest and alerting the appropriate University body where further clarification or action is required;
 - 32.5 advising GPC, or any relevant committees, as appropriate, on cases of difficulties referred to it;
 - 32.6 giving advice in the case of individual questions referred to it;
 - 32.7 performing any such other action on behalf of Council in relation to the University's Policy on Conflict of Interest as may be required from time to time; and
 - 32.8 reporting to GPC, on an annual basis, on the operation of the Committee and the Policy over the prior year.

Review of the Conflict of Interest Policy

33. This Policy shall be the subject of regular review by the Conflict of Interest Committee, GPC and, as necessary, other relevant bodies, such review to take place in the light of guidance on best practice issued by outside bodies and, in any event, not less than once every three years.

* For the purpose of this policy, 'immediate family' is defined as follows: spouse or civil partner, son, daughter. However, the 'close personal relationship' giving rise to an interest could extend to the following (this is not intended to be an exhaustive list): unmarried partner, parent, brother, sister, grandparent, grandchild, mother-in-law, father-in-law, sister-in-law, brother-in-law, son-in-law, daughter-in-law, the (unrelated) child of an unmarried partner, as well as half and step members of family.

Approved by Council on 13 July 2009. Revisions approved 14 March 2011, 25 June 2012 and 9 February 2015

APPENDIX XXIII: INFORMATION SECURITY POLICY

Context, Objectives and Responsibilities

1. The Oxford Department of International Development (the Department) handles a wide range of information in the course of its work (e.g. in relation to teaching and research activities, staff, students and financial information).
2. It is the responsibility of all members of the Department to ensure that the security of information it handles and IT systems it uses are protected, especially in relation to information that is considered to be sensitive or confidential (see Appendix 1 for a data classification scheme). By default, all personal data is assumed to be confidential information.
3. Measures to protect the security of information are essential to ensure continuity of University activities, respect the interests and privacy of individuals, and to comply with legal requirements. Information in this context refers to all paper and digital information and related IT systems.
4. This policy is the overarching Information Security Policy for the Department and sets out how information security will be managed in the Department. This policy supplements the University's IT Security Policy and is designed to ensure that ODID complies with all relevant University and legal requirements in respect of information security. Appendix 2 provides a list of relevant security legislation and University regulations to which this policy makes specific reference.
5. This policy is approved by the Head of Department.
6. The General Purposes Committee is responsible for both identifying and assessing security requirements and risks, recommending mitigating actions, and for reviewing this policy on an annual basis. Members of this group will provide direction, visible support and promote information security through appropriate commitment and adequate resourcing.

7. It is the responsibility of all Group Directors, line managers, supervisors and sponsors to ensure that their staff and any visitors are (1) made fully aware of this policy; and (2) given appropriate support and resources to comply. Group Directors and other line managers (or their nominee e.g. project coordinators) must also liaise with the Departmental Administrator to ensure that relevant actions are taken when staff leave the Department (e.g. return of cards, removal of access rights to buildings, networks and IT systems). To support this, the Department has a leavers' checklist.

8. It is the responsibility of all students, staff and visitors to ODID to comply with this policy, and with all other policies and procedures relating to information security. If a user is uncertain whether a particular activity is permissible under this or related policies, they should consult their line manager or supervisor.

9. All students, staff and visitors to ODID are required to be aware of the University Regulations and Policies applying to all users of University ICT Facilities (see Appendix 2). All new members of staff and students and visitors will be given a copy of this policy and be made aware of associated policies and guidance relating to it.

Risk Assessment, Review and Incident Reporting

10. ODID will review risk annually as part of its annual risk assessment.

11. All new projects, types of software and hardware, procedures or other activity with an information systems element must be subject to risk assessment by the relevant Principal Investigator or leader of the project.

12. Confidentiality risks associated with storage location of data collected online via external services (e.g. Qualtrics – used to conduct surveys) should be considered during project development and both funders and data owner(s) should be satisfied that the risks are acceptable.

13. Suspected or actual security incidents, e.g. the theft or loss of a mobile device used for storing data (whether this is a University device or a personal device that you have used to access University data), or a virus attack, should be reported immediately to the Head of Department and IT Officer. They will then decide on the Department's response.

Procedure and Practice

(i) General

14. Appropriate physical measures must be taken to prevent the theft, loss or inadvertent exposure of confidential data e.g. lock office doors, lock computer screens when not at your desk, lock away hard copy confidential documents, do not read confidential information in a public place where it can be viewed by others, do not leave confidential information in a photocopier or on a printer.

15. Confidential information should be stored on University managed servers, e.g. stored on the Departmental servers and not on local hard drives.

16. Confidential information should be downloaded from secure University systems (e.g. Oracle Financials, HRIS) only when strictly necessary for the purposes of your role.

17. Passwords should not be easy to guess. You must not under any circumstances share your password with others or allow others to use your account to access the University network or other resources.

(ii) Authentication and authorisation

18. All members of staff are issued with a University card that makes them an authorised user of the ODID computer network and the University of Oxford Nexus email system. The rights and responsibilities of University of Oxford card holders are detailed at www.admin.ox.ac.uk/card

19. ODID user accounts will only allow access to areas appropriate to the account holder's job and responsibilities. Variations to this must have supervisory or line management approval.

20. Visitor access will be determined by a combination of University card status and entitlements.

(iii) Computers and software

21. No hardware or software should be installed within the Department unless approved by the Departmental IT Officer. Staff are expected to have read and understood the ODID IT Security Policy and agree to adhere to it. A hard copy of the policy will be given to every new member of staff and student in their induction pack.

22. Supervisors and line managers will ensure that their staff adhere to the ODID IT Security Policy. Any breaches should be reported in the first instance to the IT Officer.

(iv) E-mail

23. Confidential information should not be sent outside the University using email unless essential. If you are thinking of sending very sensitive or confidential information via email, please carefully assess the risks, e.g.

- How sensitive is the information?
- What are the risks of the email not reaching the right person?
- Is the content such that other parties would wish to 'hack' the email?
- Within the University, if the risks are high, can you use alternatives to email, such as Weblearn or SharePoint? Please be mindful when using sites such as Weblearn or SharePoint of the need to keep under review who is granted access to the site.
- All computers have 7-zip installed which may be used to encrypt documents.

24. Please take care to ensure that emails containing confidential data are sent to the correct address. Do not rely solely on any 'autocomplete' function for the email address and please take particular care when selecting an address from a directory.

25. If you receive confidential information inadvertently via email, you should delete it as soon as possible.

26. Please ensure you take general precautions to safeguard your email account such as using strong passwords and not responding to phishing emails or giving your password to anyone else.

(v) Hard copies

27. When sending confidential documents by post, whether internal or external post, you must ensure that the envelope is sealed securely, marked 'Private and confidential', and addressed correctly. Recorded delivery must be used for confidential documents sent by external post.

(vi) Remote access

28. Only trusted machines, not public kiosk machines, should be used to connect to the University network remotely.

(a) Using a personal computer to access University systems

29. If you use a personal computer to access University systems you must protect University data by (a) ensuring that the machine is protected by a firewall, anti-virus software and the installation of security updates; (b) using Remote Desktop; (c) in exceptional circumstances where University data needs to be stored on the machine, ensuring that the machine is encrypted using one of the University's approved systems.

(b) Laptops - University purchased

30. With the exception of machines that remain permanently in the Department, University-purchased laptops should be protected through whole disk encryption (WDE), using a system provided by the Departmental IT officer.

31. In some cases, it may not be practicable or appropriate to apply WDE e.g. in the case of shared laptops, because of the number of users. In such cases, there must be an assessment of risk, and appropriate measures taken to reduce the risk and provide protection e.g. not using the laptop to store confidential information and/or keeping it in a secure room.

(c) Mobile devices including Tablets and Smart Phones (both University purchased devices and personal devices holding University information including email. Be alert to security issues when handling any potentially confidential or sensitive information on your mobile device.)

32. You should apply an appropriate password. Adjusting the default settings allows you to apply a more advanced password.

33. You should apply the latest security patches to your device.

34. Applications should be installed only from trusted locations.

35. When using your device on an unsecured public Wi-Fi network you must use the University's Virtual Private Network (VPN) service in order to ensure a secure connection to the University network. If a University-purchased tablet or smart phone, or a personal device holding University information, is lost or stolen, please report this immediately (see para. 13).

(d) Memory sticks

36. As a general rule do not use memory sticks (USB drives) to store confidential University data. If there is a well-justified exceptional case, you must use a stick/drive that is encrypted using AES 128 bit or 256 bit keys - see the Departmental IT officer.

(e) Cloud services

37. Staff, students and visitors should obtain explicit authorisation from their Group Directors, line managers (or equivalent) for the storage, exchange or synching of confidential data using either free or commercial cloud storage services (e.g. Dropbox, SkyDrive, Google Docs etc.). The University provides limited private cloud services (Sharepoint and Weblearn) and the Department also offers cloud storage based on its own servers (details of which may be obtained from the Departmental IT Support Officer). These should be considered ahead of public services.

(vi) Backup and archiving

38. If encrypting a device or data (e.g. a laptop or USB stick prior to taking off site) individuals should ensure that they have a copy of any critical data stored on the Department file server such that the encrypted copy is not the only copy of the data.

(vii) Disposal

39. All confidential data must be removed from office equipment prior to re-use or disposal.

40. ODID provides or can arrange for shredders and/or confidential waste disposal sacks for the secure disposal of any hardcopy and/or CDs or DVDs.

41. Computer hard disks, USB sticks and other storage media must be wiped prior to disposal (e.g. at end of life, on an individual leaving the Department). The Departmental IT officer can arrange this.

Appendix 1: Data Classification Scheme

<p>Confidential</p>	<p>The Information Security Policy defines "confidential information" as information which is of limited public availability; is confidential in its very nature; has been provided on the understanding that it is confidential; and/or its loss or unauthorised disclosure could have one or more of the following consequences:</p> <p>Confidential information should be available only to small, tightly restricted groups of authorised users.</p> <p>Disclosure of confidential information will have a severe adverse impact on the business of the University, its reputation, or the safety or wellbeing of its staff/members.</p> <p>Unauthorised disclosure of confidential information may have a severe financial impact on the University.</p> <p>The confidentiality of such assets will far outweigh the importance of their availability.</p> <p>Information assets in this category would include highly sensitive personal information as well as those with a high financial value, legal requirements for confidentiality and information, which are critical to the business operation of the University.</p>	<p>Limited to restricted staff groups in ODID:</p> <ul style="list-style-type: none"> *Student admissions information *Student files *Live examination papers *Recruitment and personnel files and data *Payroll data *Student and staff personal data *Legally privileged documents *Senior Management and *Strategic papers *Credit / payment card details. <p>Research data as so defined and held by research groups or individuals.</p>
<p>Restricted</p>	<p>Information intended for a defined audience but not particularly sensitive.</p>	<p>Limited to ODID staff: Committee minutes, draft discussion papers, some personnel/financial data.</p> <p>Research data as so defined and held by research groups or individuals</p>
<p>Open</p>	<p>Information intended for the public domain or that carries no appreciable confidentiality risk.</p>	<p>All information is assumed to be open unless specifically designated otherwise.</p>

Appendix 2: Relevant Legislation, University Rules and Sources

Legislation:

- i. Data Protection Act (1988): www.legislation.gov.uk/ukpga/1998/29/contents

University Rules:

- ii. University Regulations Relating to the use of Information Technology Facilities: www.admin.ox.ac.uk/statutes/regulations/196-052.shtml
- iii. University Information Security Policy: www.it.ox.ac.uk/infosec/ispolicy
- iv. JANET(UK) Statement of acceptable use Policy: <https://community.ja.net/library/acceptable-use-policy>
- v. University Policy on Data Protection: www.admin.ox.ac.uk/dataprotection
- vi. University Policy on Freedom of Information: www.admin.ox.ac.uk/foi
- vii. University Privacy Policy: www.admin.ox.ac.uk/dataprotection/privacypolicy
- viii. Trade Mark and Domain Name Policy: www.admin.ox.ac.uk/lso/faq/#d.en.30994
- ix. Mobile Wireless Networking Regulations: www.oucs.ox.ac.uk/network/wireless/rules/index.xml?splitLevel=-1
- x. Rules for University Web Sites: www.ox.ac.uk/web/rules
- xi. Computer disposal: www.ict.ox.ac.uk/oxford/disposal

- xii. Handling Illegal Material: www.ict.ox.ac.uk/oxford/rules/soaguidelines.xml
- xiii. Other related policies can be viewed here: www.it.ox.ac.uk/legal/rules

Sources:

xiv. Example policies and wording from here: www.it.ox.ac.uk/infosec/istoolkit/tools

xv. Data classifications:

www.it.ox.ac.uk/media/global/wwwitservicesoxacuk/sectionimages/security/classification_scheme26.08.11.pdf & <http://www.ictf.ox.ac.uk/conference/2013/presentations/wks-a1-tightening-it-security.pdf>

(accessible to IT Support Staff only)

APPENDIX XXIV: POST-STUDY WORK

If you wish to stay in the UK to work when you have finished your studies, unless you are an EEA or Swiss national you will need to apply for visa permission to do so. There are different routes which you should check to see if you qualify and which is most appropriate for you. There is information regarding this on the Student Gateway pages for visas and immigration:

www.ox.ac.uk/students/visa/work

There are also visa and immigration advisors in the Student Information and Advisory Service office.