

UNIVERSITY OF OXFORD

**Oxford Department of International Development (ODID)**

*(Queen Elizabeth House, QEH)*



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**D.Phil. in International Development**

**Student Handbook**

**2013 - 2014**

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## 1. INTRODUCTION

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.

### **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 a fat grey volume entitled *Examination Regulations*, which includes all the rules on studying for and getting Oxford degrees and can be accessed online at <http://www.admin.ox.ac.uk/examregs/contents.shtml>. 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 Grey Book, 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

Other official University sources of information are *Policy and Guidance for Research Degrees* and *Policy and Guidance on Examination and Assessment*, issued by the University's Educational Policy and Standards Committee (EPSC): <http://www.admin.ox.ac.uk/epsc/guidance/index.shtml>.

**The Student Gateway** website <http://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 Gazette*, published at least weekly in term time, contains official announcements, including forthcoming seminars and lectures. Available at: <http://info.ox.ac.uk/gazette>.

Some masters course materials (lecture lists, reading lists, course handbooks, etc) are now held on WebLearn <http://www.weblearn.ox.ac.uk/> to access it you will need your Oxford username and password. The section for this department (International Development) can be found in Social Sciences.

Also on the Department's Weblearn site is 'Safety, Travel and Pandemic Information' where you'll find the forms required when you travel for fieldwork. There is also a section for doctoral students where you will find funding application forms

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

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 <http://www.vitae.ac.uk/policy-practice/167/Home.html> Among other resources on that site, their 'Planning a doctorate' provides step-by advice on major stages and milestones in doctoral research. Find it at <http://www.vitae.ac.uk/1218/Postgraduate-researchers.html> and perhaps request a hard copy.

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

Cryer, P. 2000. *The research students' guide to success* (2<sup>nd</sup> 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* (3<sup>rd</sup> edition). Open University Press.

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

The latest edition of this Handbook should also always be available on Weblearn and on our Departmental website <http://www.qeh.ox.ac.uk>.

## 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 'Memorandum of Guidance for Supervisors and Research Students' (in *Examination Regulations* – 17.7 above), which is essential reading and on which this section draws, as well as providing some information about other relevant people. There is also a '[Code of practice on supervision](#)' on the Social Sciences Division website (see 2.2 for website).

### 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)

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. See the Division's website for further information: [http://www.socsci.ox.ac.uk/studying\\_at\\_oxford/postgrad\\_supervision](http://www.socsci.ox.ac.uk/studying_at_oxford/postgrad_supervision)

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 Border Agency regulations governing students who are on 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 the Dominique Attala, and advice on financial problems from their Colleges or the Student Funding Office (discussed in the next section).

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/](http://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.

### **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 usually 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 and reminding students to ensure their contact and other information is up-to-date on the central system. This is particularly important for overseas students.

#### **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 2013-14 academic year, the DGS will be Professor Jocelyn Alexander. Other members of the GSC are the Director of ODID, the Admissions Tutor and the Directors of all ODID's graduate courses. 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 on the Director of Doctoral Research (DDR). For the 2013-14 academic year, the DDR will be: Prof. Xiaolan Fu. 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 Computing 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](mailto: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](mailto:mary.smith@admin.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 forms you will need, download them from <http://www.ox.ac.uk/students/academic/graduates/forms/>

## **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. They meet regularly in the 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.

## **2.9 EQUALITY AND DIVERSITY**

The Equality and Diversity Unit promotes equality, values diversity and supports departments/faculties and colleges in maintaining a working, learning and social environment in which the rights and dignity of all members of the university community are respected. It aims to ensure that no student will be treated less favourably on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and/or belief, and sexual orientation. For more information on the networks and activities the Unit supports, visit: [www.admin.ox.ac.uk/eop/](http://www.admin.ox.ac.uk/eop/). These include: LGBT Staff Network (staff and graduate students); Race Equality Network (staff and students); Oxford Women's Network (staff and students); LGBT History Month; Black History Month

The Equality and Diversity Unit supports a network of over 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/](http://www.admin.ox.ac.uk/eop/harassmentadvice/)

The Disability Advisory Service (DAS) can provide information, advice and guidance on the way in which a particular disability may impact on a your student experience at the University and assist with organising disability-related study support. For more information visit: [www.ox.ac.uk/students/shw/das/](http://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/](http://www.ox.ac.uk/students/shw/counselling/)

A range of services led by students are available to help provide support to other students, peer support, OUSU Student Advice Service and Nightline. For more information visit: [www.ox.ac.uk/students/shw/peer/](http://www.ox.ac.uk/students/shw/peer/)

### 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	<b>Probationary research studies</b>    Coursework for examination    Preparation of transfer paper (Week 1 Trinity Term) Assessment of transfer paper (by end of Trinity Term) Transfer to D.Phil. student status	
		<b>Transfer from M.Phil.</b>
One year	<b>Getting to confirmation of status (milestone)</b> Finalise preparation for fieldwork Carry out fieldwork (or other research) Write core chapters based on research Assessment for confirmation of status (application submitted at beginning of milestone term)	
One year	<b>From confirmation to completion (milestone)</b> Write remaining chapters Supervisor reviews whole thesis Revise all chapters of thesis Submit thesis for examination	

The figure 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 an independent expert (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 recommended if the overall timetable is to be achieved. Fieldwork should begin 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, to which students are admitted only if they have satisfied their colleges that they have sufficient funding. Guarantees made to colleges are regarded as binding by ODID, which expects students to make use of the 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.

Oxford’s official norm, which is in line with UK Research Council rules, is that students should do no more than six hours of paid work per week (including time for preparation and marking, in the case of teaching assistance). 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 stage and will usually need to do this during their fieldwork period.

Students with D.Phil. status (after transfer from PRS or entry from the M.Phil.) are not required to reside continuously, 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 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 GSO3 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 (page 850 of the 2013 edition) and the Regulations of the Education Committee (page 859 of the 2013 edition).

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 work towards submitting the application for transfer in 1<sup>st</sup> 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 0<sup>th</sup> 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 1<sup>st</sup> 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 2<sup>nd</sup> Week.

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.

#### 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.

### 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 send the following items to the Graduate Studies Administrator at the Social Sciences Division Office, **in 1<sup>st</sup> Week of your third term (Trinity Term)**:

- (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);
- (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.

Although you can initiate the transfer process at any time within the three terms, ODID expects PRS to apply for transfer at the beginning of their third term. Any student who has not applied to transfer status by the end 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, it is desirable to appoint the assessors in advance. To assist this, items (i) and (ii) can be submitted up to four weeks ahead of the transfer paper itself, as long as all items have been submitted by or before the milestone 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). 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. 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.

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. Alternatively, it may offer a transfer to M.Litt. status – the M.Litt. being a less demanding and quicker research degree (Appendix XV).

### 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 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 Graduate Student Administrator and it will be assessed by the student's supervisor(s).

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**

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. Before departing, students must also complete the departmental Safety in Fieldwork questionnaire, the Travel Insurance application form, the risk assessment (see Appendix XVII), and the relevant Research Ethics forms (described more fully in Appendix XI). Students must consult the University's Occupational Health Centre (<http://www.admin.ox.ac.uk/uohs/at-work/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 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.

### **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. To apply for an extension, 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 send the following items at the beginning of the milestone term to the Graduate Studies Administrator at the Social Sciences Divisional Office:

(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.

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’ 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.). 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.

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 started *at the beginning* 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 the milestone deadline date. 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. 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 XV). Or it may advise the student to withdraw from the course.

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. *You should include a statement explaining how you have responded to the comments of your assessors in your resubmission.*

### **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. 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 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, 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, 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 <http://www.ox.ac.uk/students/academic/graduates/forms/>. 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 XIII)
- declaration of authorship after title page (see Appendix XIII)
- 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 (also see below, 3.5.4). 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 <http://www.ox.ac.uk/students/academic/graduates/forms/> 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 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.

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 formally the 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.

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 minor 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. You will also be required to submit an electronic copy of the thesis (see Appendices IV and V). You will not be allowed to take your degree until this library copy has been received.

### **3.5.6 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 may be requested beyond the permitted six terms. However, these would require the additional approval of the University Education Committee.

##### **(iii) 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 nine 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. In exceptional cases, additional terms may be requested, but these need the additional approval of the University 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 (including maternity leave). 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 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 12<sup>th</sup> term of the doctorate unless s/he has also had an extension of time granted.

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.) Such a 'suspension of status' can be granted for not less than one and not more than three terms at any one time. The GSC will not allow more than six terms of suspension in total for any student.

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.

The University's Education Committee (EdC) has issued guidance on suspension, from which the following paragraphs are extracts:

"While the consequence of suspension of status within the University is to stop the clock for all elements of the degree course in question, including residence, fees, terms for which a particular status may be held, this does not apply to the holder of a research council award unless that body has also specifically approved suspension of the award, and agreed a consequent extension to the time within which the thesis must be submitted. A separate application must be made by the student to the funding body in parallel to that being made within the University.

In particular, Graduate Studies Committees may want to give special attention to students who apply for suspension on the basis that they have opportunities to take up posts prior to their submission. Given that most students take up such work both for financial and career reasons, it is clear that such opportunities are of real importance to students. However, it should be noted that the research councils will not normally grant suspensions of status (and consequent extensions of time) for these reasons, and, submission rates are likely to suffer in consequence.

In considering applications for suspension of status from those students well past the original number of terms for the course concerned (twelve for D.Phil., nine for M.Sc. by Research and M.Litt.), consideration should be given to 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 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.

#### 4. SUMMARY OF GSO FORMS

The following forms issued by the Graduate Office are relevant to ODID doctoral students, and can be downloaded from <http://www.ox.ac.uk/students/academic/graduates/forms/>

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	Application for a Change of Supervisor or Appointment of Joint Supervisor(s)
GSO.8	Application for Dispensation from Statutory Residence	GSO.26	Information for thesis cataloguing (to be submitted to the Examination Schools)
GSO.15	Application for Extension of Time	GSO.28	Change of programme of study
GSO.16	Application for an Early Viva	GSO.29	notification of withdrawal from programme of study
GSO.17	Application for Suspension of Status	GSO.30	notification of change of personal details
GSO.17a	Application for return from suspension		
GSO.18	Application for Extension of Time to Complete Minor Corrections for M.Litt or D.Phil.		
GSO.23	Application for Reinstatement to the Register of Graduate Students		

### 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 thorough 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.

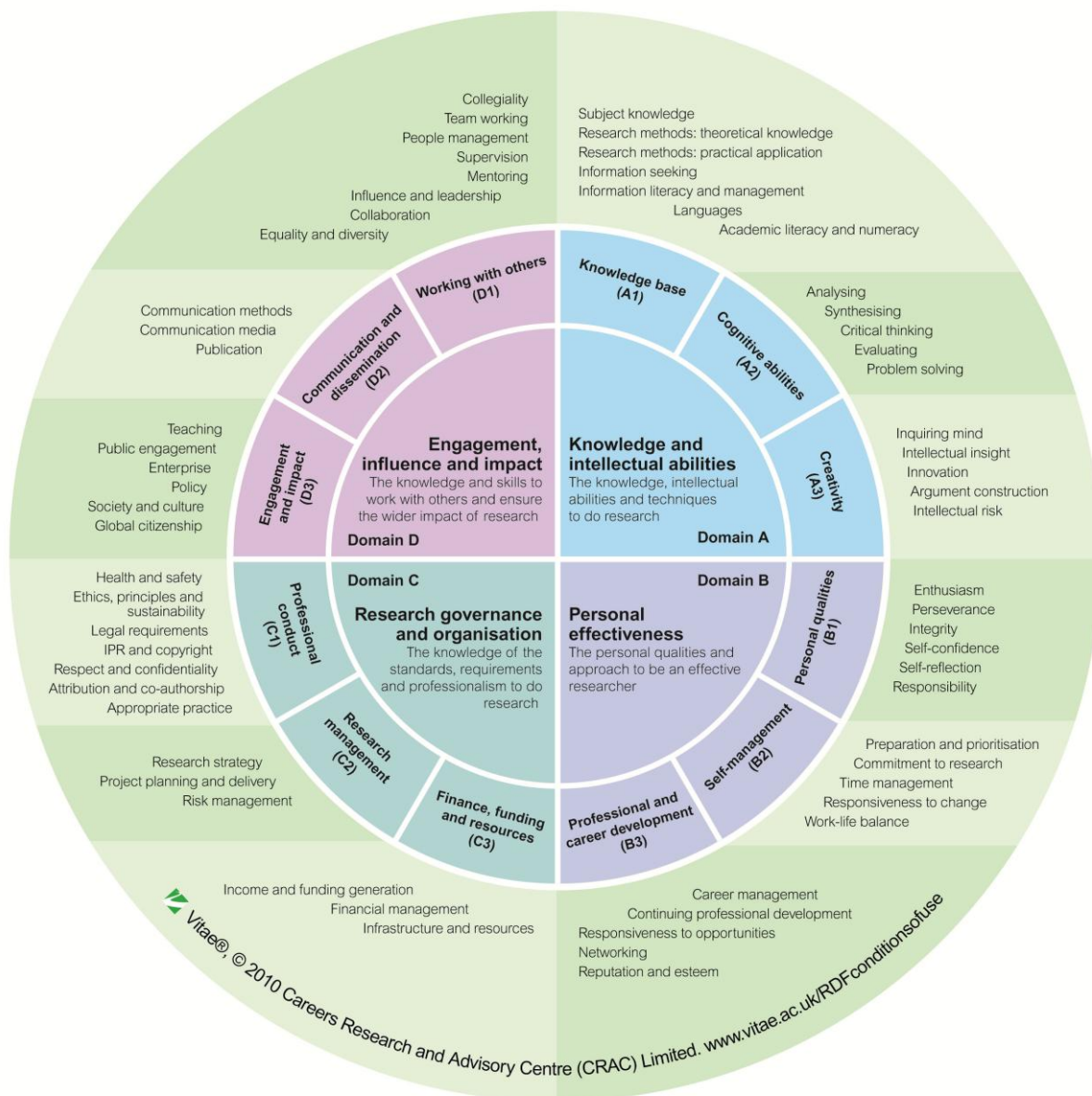
You will have access to a wide range of training whilst undertaking your research, including:

- Research methods training within your department
- Training open to doctoral students across the social sciences via the Research Methods Hub
- An *Academic and Professional Development Programme* (APDP) organised by the Social Sciences Division and aimed at doctoral students and early career researchers
- Training offered by University providers such as the Careers Service, IT Services and Bodleian Library
- Advanced and specialist research methods training offered at other UK universities via the ESRC's Advanced Training Network (ATN)

#### 2. THE RESEARCHER DEVELOPMENT FRAMEWORK

Early in your career at Oxford, you should aim to familiarise yourself with the [Researcher Development Framework](#) (RDF). The RDF, created by [Vitae](#) from interviews with researchers, is used by universities across the UK to guide researcher learning and development. The RDF brings together key skills, knowledge, behaviours and attitudes relevant to researchers. You can use the RDF to reflect on the multifaceted nature of research and to help you think strategically about your developmental aims, needs and aspirations as a researcher, and plan your steps towards them by assessing and developing the skills and attributes you will need.

The RDF has four **Domains**, each of which incorporates three **Subdomains**. Each Subdomain is broken down further into **Descriptors**. Descriptors are the key skills, knowledge, behaviours and attitudes that researchers learn, develop or improve as they progress in their work.



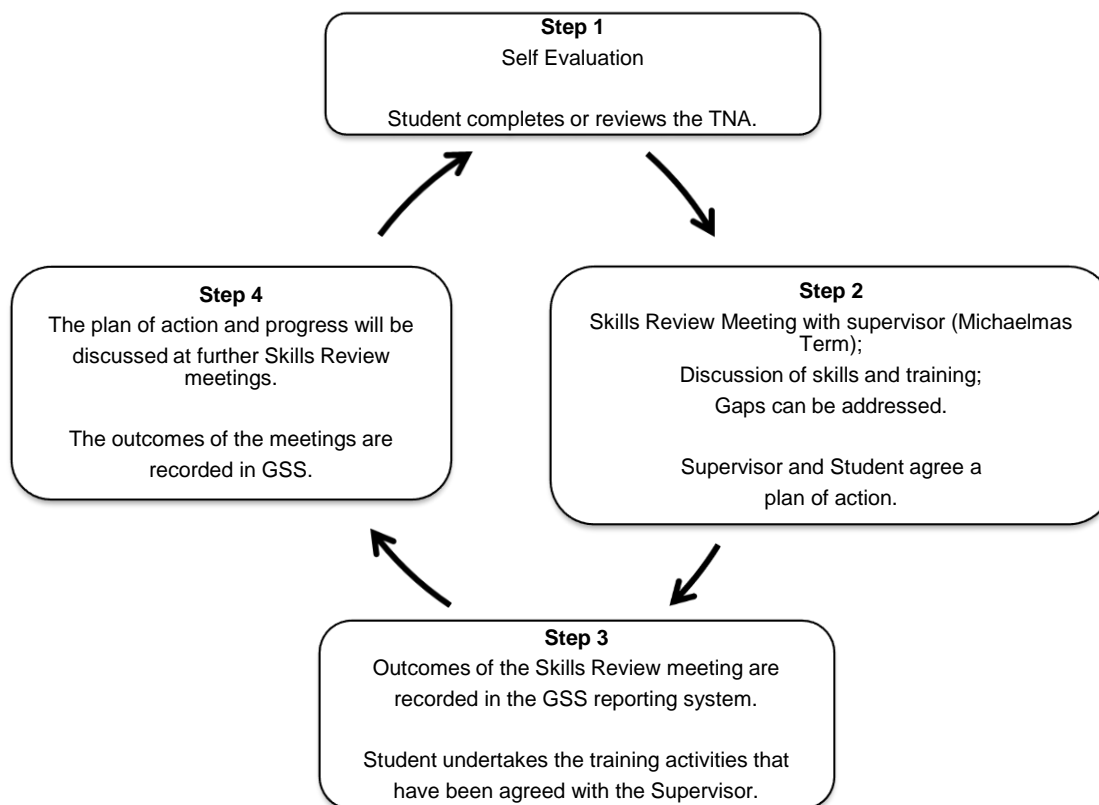
**Figure 2.1:** The Vitae Researcher Development Framework ([www.vitae.ac.uk/rdf](http://www.vitae.ac.uk/rdf))

At Oxford, our researcher development training is tagged with RDF Domains and Subdomains to make it clear how the training relates to specific parts of the Framework. It is important to recognise that the RDF is holistic. Over time, you should aim to develop across all four Domains and to integrate your experience, development and learning.

### 3. SKILLS REVIEW AND TRAINING NEEDS ANALYSIS

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 draw on a process known as Training Needs Analysis 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 following diagram shows, training needs analysis is an iterative process:



**Figure 3.1:** The iterative process of Skills Review and Training Needs Analysis

Working together, you and your supervisor will formalise your bespoke researcher development plan through yearly Training Needs Analyses. This Department has Training Needs Analysis (TNA) form which can be downloaded from the D.Phil Weblearn page.

Alternatively - or, perhaps alongside your departmental TNA - you and your supervisor may wish to use [Vitae's interactive downloadable RDF Planner](#) to plan your development as a researcher. This planner (an Excel document) is structured according to the Domains, Subdomains and Descriptors of the RDF and lets you chart your development across different phases in each of the skills, knowledge, behaviours and attitudes that are characteristic of excellent researchers.

Whichever document you choose to use to record your training needs and development as a researcher—departmental TNA, RDF Planner, or both—you are encouraged to upload your document(s) to the Graduate Supervision System (GSS) on a regular basis, and at least once a year. In addition, you can also enter comments about your training directly into the relevant free text boxes supplied within GSS. This will allow both you and your supervisor to have a record of your changing training needs and your development over time.

#### 4. DOCTORAL TRAINING IN THE SOCIAL SCIENCES

*Doctoral Training in the Social Sciences* is synonymous with the University of Oxford's Social Sciences Doctoral Training Centre. The Centre is part of a [UK-wide network of 21 Doctoral Training Centres](#) funded by the Economic and Social Research Council (ESRC). Our Centre is not a single physical place, but rather a coordinating hub for training in research methods and academic and professional development. All social sciences doctoral students have access to the training on offer.

Through *Doctoral Training in the Social Sciences*, you can access research methods training and other researcher development opportunities.

#### 4.1 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, under the auspices of *Doctoral Training in the Social Sciences*, you can access specialist and advanced research methods training in other Departments, through the Social Sciences Division's Research Methods Hub, and across the University. Beyond the University, Oxford's participation in the [ESRC's Advanced Training Network](#) gives you access to selected advanced research methods training offered at other UK universities. Further information is available on the [Research Methods Hub](#) page of the [Doctoral Training in the Social Sciences](#) website.

#### 4.2 Academic and Professional Development

To support your broader development as a researcher and enhance your professional development and employability, the Social Sciences Division organises an *Academic and Professional Development Programme* (APDP) covering a range of generic and transferable skills. For more information, see the [APDP page of the Doctoral Training in the Social Sciences website](#).

#### 4.3 Other University Services

Oxford offers a wide range of researcher development opportunities and resources for social science doctoral students. In addition to research methods training and the *Academic and Professional Development Programme* (APDP), there are also University-wide resources and career development opportunities.

4.3.1 Bodleian Library: The [Bodleian Library](#) provides training in information skills and information literacy. Some workshops are offered under the auspices of the APDP; others are offered directly by the Library.

4.3.2 Careers Service: The [Careers Service](#) has a range of events and resources for doctoral students.

4.3.3 IT Services: Through its [IT Learning Programme](#), [IT Services](#) offers a range of computing courses.

4.3.4 Online Courses: Several online courses are available, including the [Research Skills Toolkit](#) and a [Research Integrity](#) course for social science researchers.

4.3.5 Oxford Learning Institute: The [Oxford Learning Institute](#) (OLI) has a useful set of resources on research supervision and its [Apprise](#) website is aimed at doctoral students.

The [Research Supervision](#) website provides information for both DPhil students and their supervisors on the following key topics:

- DPhil students
- Being a supervisor
- Stages of the doctorate
- Examination
- Research environment
- National and international context

Under these broad headings, the website includes explanations of Oxford's policies and practice with links to University policy documents, downloadable tools and ideas for both students and supervisors, links to further national and international websites, examples of good practice, and listings and links to some of the research literature on doctoral study, including articles in journals which the University has on subscription.



4.3.6 Language Centre: The Language centre offers specialist and difficult languages training. Please note that you should discuss attending courses run by the [Language Centre](#) with your supervisor and departmental graduate administrator *BEFORE* signing up for or attending any course.

#### 4.4 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 Social Sciences Doctoral Training Centre's *Academic and Professional Development Programme* (APDP), 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 provides further information on teaching and teaching development within the Social Sciences Division.

### 5. FINDING AND SIGNING-UP FOR GRADUATE TRAINING

During your time as a doctoral student, you are encouraged to draw on the process of Training Needs Analysis to think strategically about your ongoing development as a researcher and professional and to take advantage of the variety of training on offer. For details of current training opportunities and to sign-up for courses and workshops, you will need to visit the [Graduate Training](#) site in [WebLearn](#), the University of Oxford's virtual learning environment (VLE).

On the Weblearn Graduate Training site, you can search, browse and sign-up for courses on offer within Departments, at the Divisional level, and through other Services across the University. The Graduate Training site was previously known as the Student Enrolment System (SES). An Oxford Single Sign-On is required to access full information about courses, and all sign-ups must be made using an Oxford email address.

There are three ways to find courses in the Graduate Training site:

Use the **Search Modules** option if you know the training topic that interests you; for example, you might wish to search for *statistics* or *time management*. You can filter the results of a search in a variety of ways, including by department, skills category or timeframe.

Use the **Browse by Department** option to determine what courses are currently offered by Departments, the Social Sciences Division and other University Services. Clicking on any option will expand the list of choices, increasing the options available for you to browse. At times, the list of options can get quite long, so don't forget to scroll down!

The **Browse by Calendar** option lists all available training by date. This option is especially useful if you are looking for upcoming courses.

### 6. USEFUL WEBSITES

Researcher Development Framework

(<http://www.vitae.ac.uk/CMS/files/upload/Vitae-Researcher-Development-Framework.pdf>)

Vitae

(<http://www.vitae.ac.uk/>)



Vitae's interactive downloadable RDF Planner  
(<http://www.vitae.ac.uk/CMS/files/upload/Vitae-Excel-RDF-Planner-Prototype-2010.xls>)

University of Oxford's ESRC Doctoral Training Centre: *Doctoral Training in the Social Sciences*  
(<http://dtc.socsci.ox.ac.uk/>)

Information on the UK-wide network of 21 ESRC Doctoral Training Centres  
(<http://www.esrc.ac.uk/funding-and-guidance/postgraduates/prospective-students/where-can-i-study/index.aspx>)

Social Science Research Methods Hub  
(<http://dtc.socsci.ox.ac.uk/index.php/training/research-methods-hubs>)

Academic and Professional Development Programme (APDP)  
(<http://dtc.socsci.ox.ac.uk/index.php/training/skills-training>)

Information about the ESRC's Advanced Training Network  
(<http://www.esrc.ac.uk/funding-and-guidance/postgraduates/advanced-training/index.aspx>)

Research Skills Toolkit  
([https://weblearn.ox.ac.uk/portal/hierarchy/skills/res\\_skill\\_kit](https://weblearn.ox.ac.uk/portal/hierarchy/skills/res_skill_kit))

Research Integrity Online Course  
(<https://weblearn.ox.ac.uk/portal/hierarchy/skills/ricourses>)

Research Supervision  
(<http://www.learning.ox.ac.uk/supervision/>)

Apprise  
(<http://www.apprise.ox.ac.uk/>)

Teaching Development  
(<https://weblearn.ox.ac.uk/portal/hierarchy/socsci/dtcssd/teaching/page/home>)

## 6.2 Booking Training

EITHER <https://weblearn.ox.ac.uk/portal/hierarchy/socsci/ses>

OR <https://weblearn.ox.ac.uk/portal/hierarchy/grad> [Note: Both URLs work.]

## 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.

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 for students commencing their studies from October 2011 onwards. However, Departments and Faculties are strongly encouraged by the University's Education Committee to require students to transfer status sooner, and in this *Department/Faculty*, transfer of status is normally required 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 of Status Assessment**

Applications for transfer of status should be made using the GSO.2 form available from <http://www.ox.ac.uk/students/academic/graduates/forms>. 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 our Graduate Studies Administrator, Social Sciences Division, Hayes House, George Street, Oxford.

Steps 1 and 2 and the two forms can be submitted up to four weeks ahead of the transfer paper itself. They should be submitted in the first week of the third term or as soon as possible afterwards. The transfer paper can be emailed.

## **4. THE TRANSFER ASSESSMENT**

The *Graduate Studies Committee* will appoint two assessors neither of whom will normally 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 interview is not an official examination or viva, and *subfusc* is not

worn. 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 in three or at most four years for 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 four outcomes, which must be considered and approved by the Graduate Studies Committee.

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

(ii) 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.

(iii) 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.

(iv) 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)-(iii) should normally be chosen. At the second attempt, options (i), (iii) or (iv) should be considered. (Only in exceptional circumstances may a third attempt at transfer be made, and this would require the support of the Graduate Studies Committee and approval by the University's Education Committee.)

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 <http://www.ox.ac.uk/students/academic/graduates/forms>. 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 should be again made using the form GSO.2b and would require the same

approvals as above and, in addition, approval of the University's Education Committee as it requires formal dispensation from the *Examination Regulations*. 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, normally other than the supervisor(s), 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.

### 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 at the beginning of that term.

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

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. For students who have previously completed an M.Phil. (with a thesis in the same broad field as the topic for the D.Phil.) and have progressed directly to D.Phil. status, (i.e. transfer of status has been waived) this normally means that confirmation of status should be applied for 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 at the beginning of that term.

### 3. HOW TO APPLY FOR CONFIRMATION OF STATUS

Applications for confirmation of status should be made using the GSO.14 form available from <http://www.ox.ac.uk/students/academic/graduates/forms>. 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 page 17 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 normally 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 interview is not an official examination or viva, and sub fusc is not worn. 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. Student 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 clarifications of the research proposal or completion schedule and/or additional written work 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.



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. (Only in exceptional circumstances may a third attempt at confirmation be made, and this would require the support of the Graduate Studies Committee and approval by the University's Education Committee).

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 nine terms of admission as a graduate student (or by the deadline defined in the subject specific regulations if different), 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, as long as the total number of terms from admission as a graduate 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 <http://www.ox.ac.uk/students/academic/graduates/forms>. 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. For students admitted from 1 October 2010 onwards, 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; however, this requires approval by both the Graduate Studies Committee and the University's Education Committee as it requires formal dispensation from the *Examination Regulations*.



	PG research programmes requiring deposit of PRINT copies	PG research programmes requiring deposit of DIGITAL copies
<b>Which programmes</b>	D.Phil. M.Litt. M.Sc.(by research) M.Phil. Mandatory deposit of most theses (see column 4)	D.Phil. M.Litt. M.Sc.(by research)
<b>Who deposits copy in ORA</b>	n/a	Student
<b>Mandatory or voluntary deposit</b>	Mandatory. As condition of award	Mandatory. As condition of award
<b>When to deposit</b>	After leave to supPLICATE granted	After leave to supPLICATE granted
<b>Where to deposit</b>	Deposit with the Research Degree Exams Office at the Examination Schools together with completed forms GSO.3a and GSO26	ORA ( <a href="http://ora.ox.ac.uk/">http://ora.ox.ac.uk/</a> ). Click on 'Contribute' and use Oxford username and password (contact <a href="mailto:ora@bodleian.ox.ac.uk">ora@bodleian.ox.ac.uk</a> if Oxford password has expired)
<b>Format</b>	See University regulations for binding instructions	<b>Digital</b> – 2 copies i) Original file (eg MSWord) for preservation ii) a single PDF file for dissemination.
<b>Official forms</b> <a href="http://www.ox.ac.uk/s">http://www.ox.ac.uk/s</a> <a href="http://www.ox.ac.uk/academic/graduate/forms/">tudents/academic/graduate/forms/</a>	<b>GSO.26</b> Information for hardbound thesis cataloguing (to be submitted to the Examination Schools) <b>GSO.3a</b> Bodleian deposit and consultation for thesis for M.Litt./D.Phil./M.Sc. (to be submitted to the Examination Schools) <b>GSO.3c</b> Application for dispensation from Consultation of Thesis M.Litt./D.Phil./M.Sc. (submitted to relevant Graduate Studies Administrator)	<b>GSO.3c</b> Application for dispensation from Consultation of Thesis M.Litt./D.Phil./M.Sc. (to be submitted to the relevant Graduate Studies Administrator)
<b>Where to find helpful information</b>	<b>Examination regulations</b> <a href="http://www.admin.ox.ac.uk/examregs/contents.shtml">www.admin.ox.ac.uk/examregs/contents.shtml</a>	<b>Examination regulations</b> <a href="http://www.admin.ox.ac.uk/examregs/contents.shtml">www.admin.ox.ac.uk/examregs/contents.shtml</a> <b>ORA Help &amp; Information</b> <a href="http://www.bodleian.ox.ac.uk/ora/oxford_etheses">http://www.bodleian.ox.ac.uk/ora/oxford_etheses</a>

Continued next page

<b>Application for dispensation from consultation, restricted access or embargo</b>	<ul style="list-style-type: none"> <li>Student indicates application for dispensation on form GSO.3a</li> <li>Use form GSO.3c. Sent to Divisional/Dept Graduate Studies Administrator (GSA).</li> <li>Once approved, GSA sends confirmation of dispensation to Exams Office</li> <li>Dispensation noted on OSS record</li> </ul>	<b>Humanities, Social Sciences and Medical Sciences Divisions</b> <ul style="list-style-type: none"> <li>Digital theses are embargoed for 3 years without seeking formal permission (opt out available).</li> <li>Students should indicate on the deposit form if the thesis contains material that should remain restricted after 3 years (eg copyright or other sensitive content)</li> </ul>
<b>End of embargo* (see appended notes)</b>	Student should contact relevant Graduate Studies Administrator three months prior to end of embargo to apply for an extension. If no notice of approval of an application is received, the thesis will be made open access at expiry of embargo*	Students should contact the relevant Graduate Studies Assistant three months prior to end of embargo to apply for an extension. If no notice of approval of an application is received, the thesis will be made open access at expiry of embargo*
<b>Copyright information</b>	<p>ORA information and helpdesk will provide basic guidance. For more detailed professional advice please contact Legal Services. You may wish to contact the copyright holder directly.</p> <ul style="list-style-type: none"> <li><b>ORA Help &amp; Information</b> <a href="http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues">http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues</a></li> <li><b>ORA Helpdesk</b> <a href="mailto:ora@bodleian.ox.ac.uk">ora@bodleian.ox.ac.uk</a></li> </ul>	
<b>Sensitive content information &amp; responsibilities</b>	<p><b>ORA Help &amp; Information</b> <a href="http://www.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues/sensitive-content">http://www.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues/sensitive-content</a></p> <p>The Research Services Office can be contacted for details of contracts or other similar concerns. <a href="http://www.admin.ox.ac.uk/rso/contactus/">http://www.admin.ox.ac.uk/rso/contactus/</a></p>	
<b>Timing of departmental or college training and information for student</b>	<ul style="list-style-type: none"> <li>Transfer of status</li> <li>When writing thesis</li> </ul> <p>Confirmation of Status (for D.Phil students only)</p>	<ul style="list-style-type: none"> <li>Transfer of status</li> <li>When writing thesis</li> </ul> <p>Confirmation of Status (for D.Phil students only)</p>
<p><b>* End of embargo</b></p> <p>It is the responsibility of the student to initiate any extension to the embargo of both print and digital theses. Reminders are not sent out to alumni. Students should be instructed that they should apply for an extension within a reasonable time prior to the expiry of the embargo, if possible at least three months prior to the end of the embargo, in order to give the relevant staff time to deal with the application. The application for extension should be sent to the appropriate Graduate Studies Assistant who will inform the Research Degrees Examinations Office, via e-mail, who will then inform the Bodleian Library and ORA that an application has been made so that the thesis remains restricted until a decision has been made. The Bodleian Library/ORA will make the thesis (print and/or digital) available for open access following the original end of embargo date unless a further application for dispensation is submitted and approved. The Bodleian Libraries reserves the right to retain an embargo if it is suspected that the thesis contains material that will infringe copyright or contains other sensitive information</p>		

## **End of Embargo/Dispensation from Consultation of Oxford Thesis Procedure**

Concerning those programmes which require deposit of the thesis in the Bodleian Library and ORA (D.Phil., M.Litt., M.Sc.(by research)).

GSA: Graduates Studies Administrators (17 staff cover all subject areas at the Departments/Divisional Office -  
<http://www.admin.ox.ac.uk/gso/staff.shtml>)

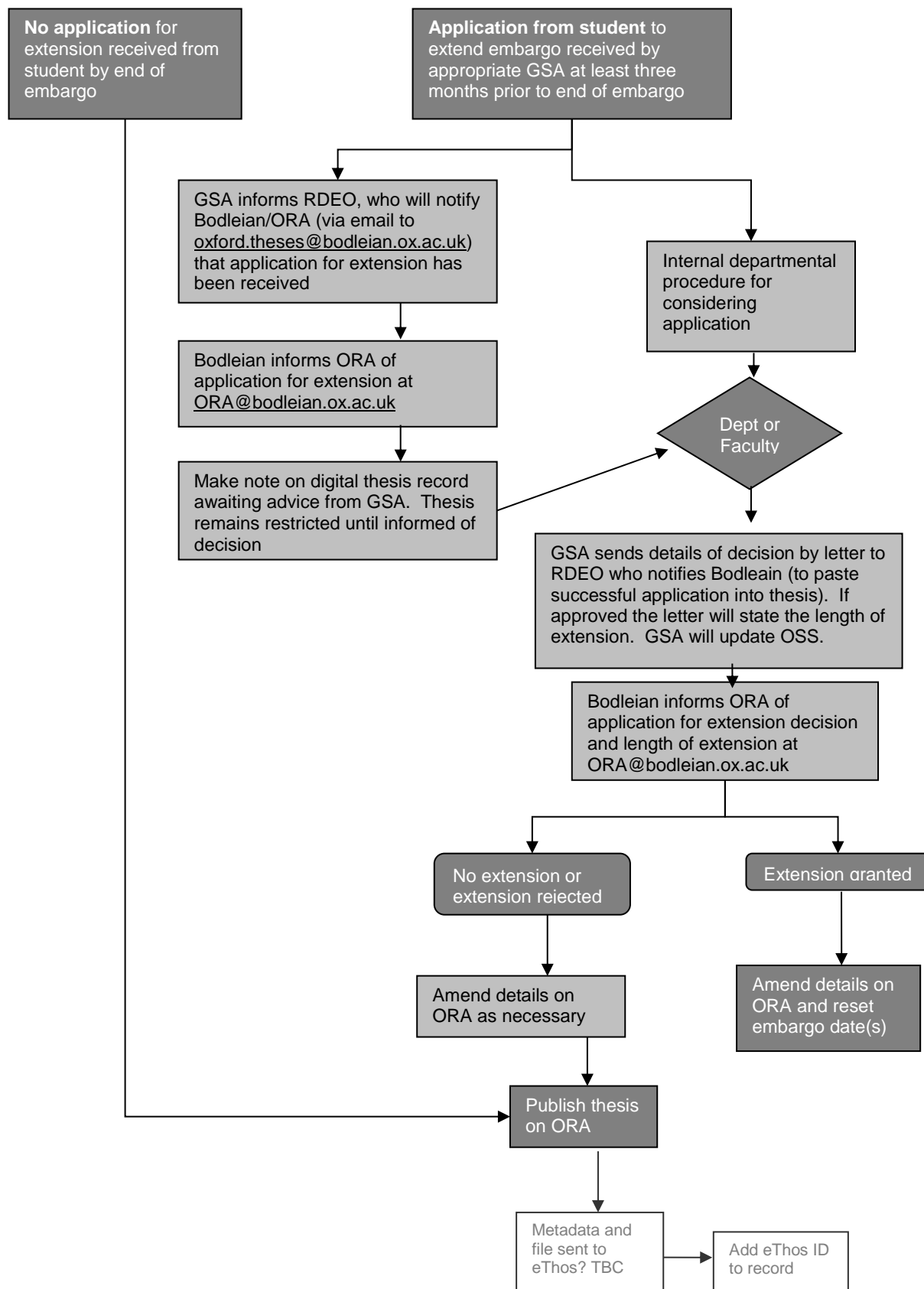
RDEO: Research Degree Examinations Office

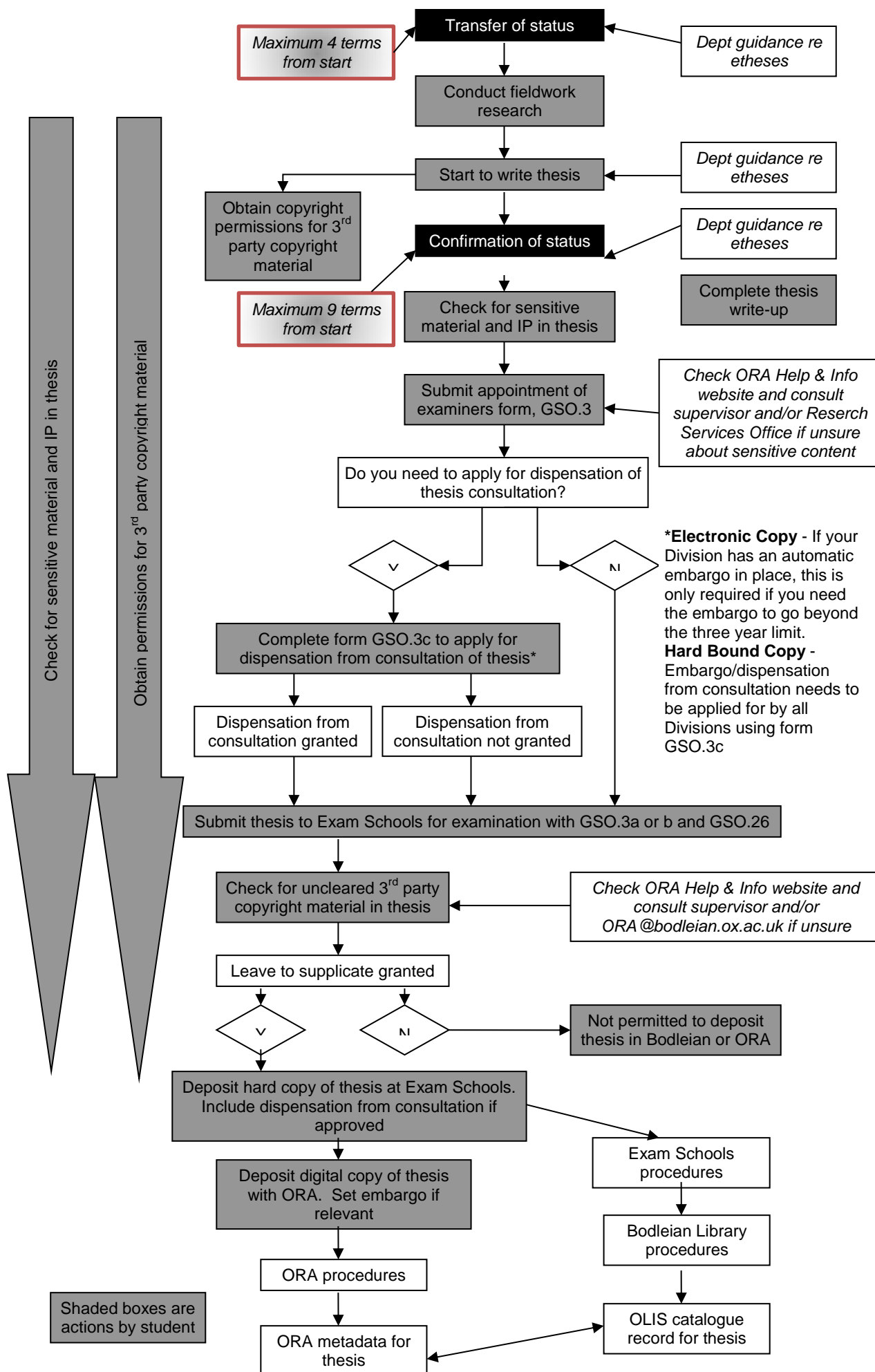
**Note:** The Bodleian Libraries reserves the right to retain an embargo on a digital thesis if it is suspected that the thesis contains material that will infringe copyright or contains other sensitive information

### **Notes**

- Hard copies of theses are deposited with the Bodleian Libraries and made available for consultation unless 'Dispensation from Consultation' has been granted.
- Digital copies of theses are deposited in ORA
  - MPLS: All digital theses are made open access on deposit in ORA unless the student applies for Dispensation from Consultation. At the end of the period of Dispensation from Consultation, the thesis will be made open access unless an extension has been granted by the Department/Faculty.
  - Humanities, Social Sciences and MSD: operate a default embargo of three years for digital copies of theses. The thesis will be made open access after this period unless an extension has been granted by the Department/Faculty.
- All students should apply for Dispensation from consultation should their thesis contain copyright or sensitive content (see [www.bodleian.ox.ac.uk/ora/oxford\\_etheses/copyright\\_and\\_other\\_legal\\_issues](http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues)) even if their thesis is subject to a default embargo. The period of restriction may last beyond the default embargo and should be applied for prior to deposit in ORA.

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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 materials 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 in the ORA at <http://ora.ox.ac.uk>. Students commencing 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 [www.bodleian.ox.ac.uk/ora/oxford\\_etheses](http://www.bodleian.ox.ac.uk/ora/oxford_etheses) and includes:

- Legal requirements and author responsibilities
- When to deposit the digital copy of your thesis
- How to deposit the digital copy of your thesis
- Open and embargoed access (for reasons such as sensitive content, material that would affect commercial interests, pre-publication or legal reasons) to all of part(s) of your thesis
- 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://www.bodleian.ox.ac.uk/ora/oxford\\_etheses/copyright\\_and\\_other\\_legal\\_issues/copyright\\_held\\_by\\_third\\_parties\\_and\\_other\\_rights](http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues/copyright_held_by_third_parties_and_other_rights)

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://www.bodleian.ox.ac.uk/ora/oxford\\_etheses/copyright\\_and\\_other\\_legal\\_issues/copyright\\_held\\_by\\_third\\_parties\\_and\\_other\\_rights](http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues/copyright_held_by_third_parties_and_other_rights)

Further information or queries about depositing digital theses should be addressed to [ORA@bodleian.ox.ac.uk](mailto: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, the Division has agreed that during the initial period (whilst both authors and publishers adapt to open access), access by others to the full text of digital theses will be **restricted for three years** by default. When completing the ORA online deposit form authors should therefore enter an embargo end date of three years from the date of deposit. 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 (GSO<sub>3</sub>A) 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](mailto:ORA@bodleian.ox.ac.uk) with instructions. Those planning to publish their research as a book or article are not recommended to place their thesis on open access 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** and it will be assumed that the full text can be released if a Dispensation from Consultation form (GSO<sub>3</sub>C) is not submitted (see below).

### **Dispensation from consultation of your thesis – library and ORA**

(i) Authors may apply for dispensation from consultation beyond the end of the default 3 year embargo period of the copy of the thesis deposited in the Bodleian or other University Library **and** 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 GSO<sub>3</sub>C, available at:

[http://www.ox.ac.uk/students/course\\_guidance\\_supervision/graduates/forms/](http://www.ox.ac.uk/students/course_guidance_supervision/graduates/forms/)

### **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](http://www.sherpa.ac.uk/romeo.php) for guidance or ask ORA staff ([ORA@bodleian.ox.ac.uk](mailto: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](mailto: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://www.bodleian.ox.ac.uk/ora/oxford\\_etheses/copyright\\_and\\_other\\_legal\\_issues/copyright\\_held\\_by\\_third\\_parties\\_and\\_other\\_rights/wording - thesis- seeking permission for 3rd party materials](http://www.bodleian.ox.ac.uk/ora/oxford_etheses/copyright_and_other_legal_issues/copyright_held_by_third_parties_and_other_rights/wording_-_thesis-seeking_permission_for_3rd_party_materials)

### 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](mailto:ORA@bodleian.ox.ac.uk).

July 2013

## 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, 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.

When reporting on academic progress, students on taught courses should review progress during the current term, and measure this progress against the timetable and requirements for their programme of study. Students on doctoral programmes should reflect on the progress made with their research project during the current term, including written work (e.g. drafts of chapters) and you should assess this against the plan of research that has been agreed with your supervisor(s).

All students should briefly describe which subject-specific research skills and more general personal/professional skills they have acquired or developed during the current term. You should include attendance at relevant classes that form part of your programme of study and also include courses, seminars or workshops offered or arranged by your department or the Division. Students should also reflect on the skills required to undertake the work they intend to carry out. You should mention any skills you do not already have or you may wish to strengthen through undertaking training.

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 supervision reporting system as a mechanism for complaints.



Students are asked to report in 6<sup>th</sup> and 7<sup>th</sup> 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 Programme for Management and Technology for Development (PTMD) 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	Xiaolan Fu (81836)
ODID Graduate Student Administrator (incl. research students)	Dominique Attala (81806)
Main Reception	Penny Rogers (81800)
Assistant to the Head of Department	Denise Watt (81803)
Departmental Administrator	Julia Knight (81804)

Assistant to the Administrator  
Accounts Officer  
IT Officer  
RSC Administrator  
Caretaker

Luci Cummings (81805)  
Wendy Grist (81824)  
Rachel Crawford (81821)  
Anneli Chambliss (81720)  
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 ODID 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 Representative in conjunction with the ODID 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 lectures 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 at no cost. 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.

There is a **photocopier** in reception. Research students who have work to present at a formal seminar which requires multiple copying may use this machine. Please obtain the DPhil code from the Student Representative. Those who need to back, collate, staple etc. please *ask* at reception for help. 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 xix. (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 holdings are housed in the Social Science Library at Manor Road, the Social Sciences building, five minutes' walk from Mansfield Road. From November 2013, John Southall will be the Social Sciences Subject Consultant. The Refugee Studies Library is also based in the SSL. The Subject Consultant for Forced Migration, African and Commonwealth studies is Sarah Rhodes.

See the Social Science Library webpages (<http://www.ssl.ox.ac.uk/>) for more information.

### **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](mailto: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](mailto: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 or Windows XP 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.

**Students are asked not to touch any part of the network infrastructure. If you bring your own laptop into the department it is essential that you contact the ODID IT Officer before attempting to connect it to the network.**

## **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](mailto: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](mailto: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](mailto: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: <http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/equalityanddiversity/documents/harassment/harprint.pdf>. 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](mailto:julia.knight@qeh.ox.ac.uk)

**Professor Chris Adam** ((2)81816) [christopher.adam@qeh.ox.ac.uk](mailto: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/>. The department's Disabilities and Special Needs Committee usually meets twice a year. Issues to be raised should be forwarded to the secretary Luci Cummings (tel: 81805, email: [lucienne.cummings@qeh.ox.ac.uk](mailto: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: <http://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:** <http://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 <http://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. <http://www.admin.ox.ac.uk/shw/counserv.shtml>

#### **IMPORTANT NOTE**

##### **Students' Addresses**

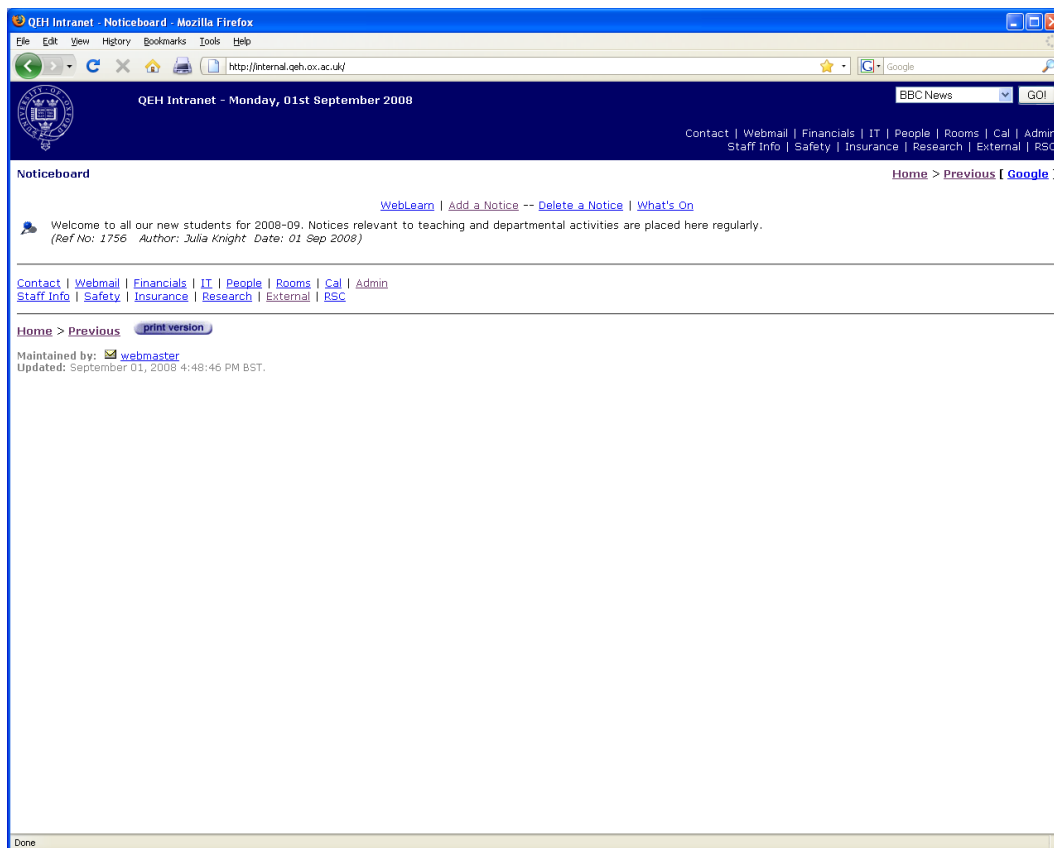
It is important that Dominique Attala (Graduate Student Administrator at ODID) and Mary Smith, the Social Sciences Division Graduate Studies Administrator (2)14861 based at Hayes House, 74 George Street are kept informed of any change of address.

#### **Useful Information for Students**

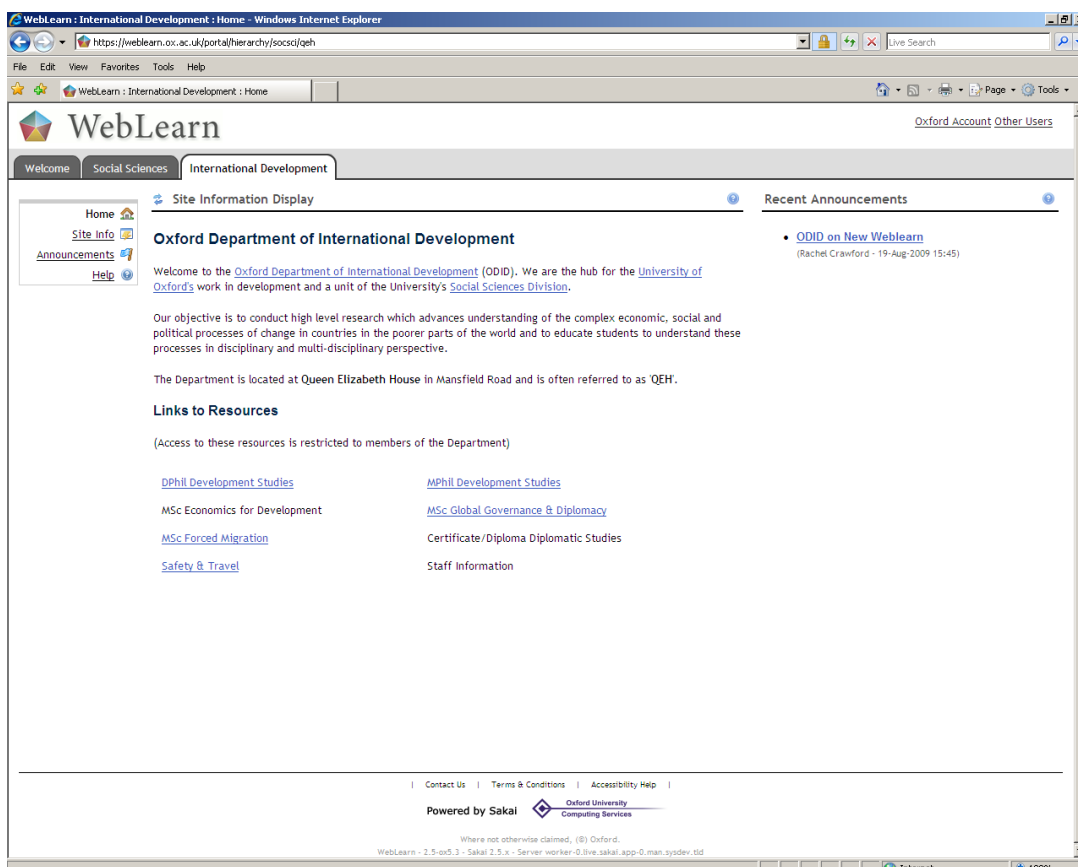
The drop down list on the department's Noticeboard page has links to many useful sites, mainly in the University but some outside. The University of Oxford link directs you to the University's home page where a current students link <http://www.ox.ac.uk/students/index.html> leads to a wide range of information 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):

WebLearn: Safety & Travel: Resources - Windows Internet Explorer

https://weblearn.ox.ac.uk/portal/hierarchy/socsci/qeh/safety/page/resources

WebLearn

Resources

Location: Safety & Travel Resources

Copy | Remove | Move

Title	Access	Created By	Modified	Size
<input type="checkbox"/> Safety & Travel Resources				
<input type="checkbox"/> Safety in Fieldwork Information for Staff	Entire site		19-Aug-2009 16:09	5 items
<input type="checkbox"/> Safety in Fieldwork Information for Students	Entire site		19-Aug-2009 16:09	6 items
<input type="checkbox"/> Aide-memoire Safety (new staff).pdf	Entire site		26-Aug-2009 16:00	21.3 KB
<input type="checkbox"/> DSE Sept 09.pdf	Entire site		08-Sep-2009 16:04	31.9 KB
<input type="checkbox"/> Safety (Staff-Students-Visitors) (Aug 09).pdf	Entire site		08-Sep-2009 16:14	47.6 KB
<input type="checkbox"/> Statement H+S Org Jan 09.pdf	Entire site		19-Aug-2009 16:09	1.5 MB

[Show other sites](#)

Powered by Sakai

Oxford University Computing Services

Where not otherwise claimed, (©) Oxford.

WebLearn - 2.5-oxf.3 - Sakai 2.5.x - Server worker-0.live.sakai.app-0.man.sysdev.ttd

## 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. Candidates must be expecting to submit their thesis within 12 months of the closing date and be in the third or fourth year of research. Awards will not normally exceed £1,000 each. Application forms can be downloaded in January from the Student Funding and International Office website: <http://www.ox.ac.uk/feesandfunding/contact/> The closing date is normally early April.

### 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  
 Funding: £500 per student

### George Peters Travel Scholarship. El Ghonemy 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+.

### 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: 1<sup>st</sup> year M.Phil./1<sup>st</sup> year research PRS.  
 Funding: up to £80 per person

### ODID Publication Grant

Application: Dates on application form obtained from Weblearn  
 Eligibility: From time of submission of a thesis for examination (applications can be made in advance) extending for up to six months from the time of success in examination. The work funded by the award must be completed within one year of success in the examination  
 Funding: Up to £2000

### **Small grants to PRS and D.Phil. students**

For travel and related expenses of presentations of 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](mailto:Student.Funding@admin.ox.ac.uk) Webpage: <http://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: <http://www.ox.ac.uk/gazette>)

## **APPENDIX XI: RESEARCH ETHICS (CUREC)**

The Oxford Department of International Development has adopted the following *Ethical Guidelines for Good Research Practice*<sup>1</sup> 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](#). 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.

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<sup>1</sup> 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. 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 **submit 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 pass them on to the Director of Graduate Studies for signature before they are forwarded to the Social Sciences Division Interdisciplinary Research Ethics Committee (IDREC).
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 IDREC will be emailed by them directly to the student.
5. From the submission of the forms to their approval in straightforward cases, the process should be completed in four to six weeks.

## APPENDIX XII: COURSE OPTIONS FROM THE M.PHIL. FOR PRS QUALIFYING EXAMS

### **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, Dr. 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** (Dr. 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** (Prof. Jocelyn Alexander 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.Sc. in Refugee and Forced Migration Studies paper on Research Methods** (Prof. Dawn Chatty)

The course covers the topics described above in the M.Phil. Research Methods Course. It is examined through the submission of a report on a pilot scoping study conducted during the second term of the course and is related to the PRS student's proposed D.Phil. study.

### **M.Phil. Second Year Options (Note: these are subject to change each year):**

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 supervisors may suggest particular options.

1. **Forced Migration: International Legal and Normative Framework** (Dr. Matthew Gibney)  
*From the M.Sc. in Refugee and Forced Migration Studies*  
This option examines the international legal and normative framework in relation to refugees and displaced persons; the international and domestic application of individual and group rights to displaced persons and refugees; the activities and involvement of the relevant international organs, governments, and inter-governmental and non-governmental organizations relevant to forced migration; concepts of intervention and their justifications; the evolution of humanitarian responses to forced migration; the organizational culture of assistance; and ethical issues raised by efforts to assist, control, prevent, and deter movements of forced migrants.
2. **Forced Migration: Causes and Consequences of Forced Migration** (Dr. Matthew Gibney)  
*From the M.Sc. in Refugee and Forced Migration Studies*  
This option concerns theories of the causes of forced migration and humanitarian crises; historical dimensions and social dynamics of forced migration; social and cultural constructions of place and space; the impact of forced migration on gender relations and age structures; coercion and conflict; the implications of forced migrants for conceptualizing the modern state and the international order; the security and stability of states; environmental and development-induced displacement; poverty and vulnerability; the impact of forced migrants on host populations and governments; agency, coping mechanisms and survival strategies of affected populations; nationalism, ethnicity and group identity; consequences of resettlement programmes for livelihood and economic autonomy; and repatriation and local-level social reconstruction.
3. **Economic Theory and**
4. **Development Economics** (Prof. Chris Adam)  
*(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** (Dr. 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** (Dr. 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.
7. **Rural Societies and Politics** (Dr. Abdul Raufu Mustapha)  
This option examines major theoretical approaches to the analysis of rural societies including the formalist-substantivist debate in anthropology; peasant differentiation; economic mobility and relations with capitalism; peasant rationality; theories of peasant politics and peasant rebellions;

theories regarding gender and generation; agrarian capitalism, dominant and subaltern classes; and analyses of relations between the state, peasants and pastoralists.

8. **Health and Development** (Dr. Proochista Ariana)  
This option examines the evolution and organisation of the health and development policy process; theories of development and poverty and their relation to health; through case material the impact of development on health and the impact of health on development.
9. **Health, Environment and Development** (Dr. Proochista Ariana and Dr. Laura Rival)  
This course proposes to introduce students to the evidence linking development process, environmental factors and human health, as well as current policy debates on economic development, environmental change and public health. The interrelationship between development, environmental change and health is examined through a multidisciplinary framework and a case based methodology. Key issues regarding (a) the nature of evidence; (b) scale; (c) coping and resilience mechanisms; (d) risk and vulnerability; and (e) multi-governance and policy will be reviewed. Particular attention will be paid to actors' efforts to turn negative correlations between environment, health and development into positive ones.
10. **Children, Youth People and Development** (Prof. Jo Boyden) **NOT AVAILABLE IN 2013-14**  
This course explores the connection between recent sociological approaches to the study of childhood, on one hand, and development studies, on the other: grounding discussion in relation to the practices and discourses of child-focused development. Starting with a critical examination of the ways that young people have conventionally been conceptualized and researched, the course engages particularly with a political-economy perspective on the construction of childhood/youth and the reproduction of childhood poverty. Attention is paid to the perpetuation of inequalities amongst young people along lines of gender, class, caste, ethnicity and rural: urban residence. The course also explores how a focus on children and youth may offer an alternative insight into the values and practices of international development. Specific themes considered include education, work/labour, intergenerational relations, social transition, and rights-based and participatory approaches to development.
11. **Power and Punishment: Creating Social Order in Africa** (Prof. Jocelyn Alexander)  
This option explores the construction of social order in Africa through the discourses and practices of punishment, broadly defined. It looks at how both states and informal groups defined and policed criminality and deviance, marked differences of race and ethnicity, regulated labour and gender relations, and contested ideas of rights and citizenship. Drawing on the disciplines of history, politics and anthropology, the option explores the establishment of colonial legal codes and their consequences for social order; the criminalisation of politics and the politicisation of punishment; and the visions of order expressed through popular and private efforts to discipline anti-social and criminal activities. The option draws primarily on cases from central and southern Africa.
12. **Gender and Development** (Dr. 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.
13. **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.
14. **Introduction to Latin American Economies** (Dr. 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.

15. **The Politics of Democracy in Latin America** (Dr. Eduardo Posada-Carbo, Latin American Centre) (*Candidates should consult the course director of the M.Phil. in Latin American Studies before applying to take this option.*)

This option examines definitions of democracy; the conditions for stable democratic regimes; the breakdown of democratic regimes; transitions from authoritarian regimes; parties and electoral systems; political participation; political ideologies; the role of constitutions in theory and practice; executive-legislative relations; public administration; policy-making in democratic systems; civil-military relations; the international context of democracy

16. **The Sociology of Latin America** (Prof. Leigh Payne, Latin American Centre)  
*From the MPhil in Latin American Studies.*

This course introduces students to sociological concepts and theories as applied to Latin America and the contribution of scholarship on Latin America to the field of sociology. We will explore theories of development, poverty and inequality, nation- and state-building, social movements and mobilization, gender, race and ethnicity, religion, justice and injustice, and violence. Students will be expected to read the course material and participate in class discussions. By introducing advanced research on sociology in Latin America, the seminar prepares students for doctoral research in this area.

17. **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: THESIS TITLE PAGE AND AUTHORSHIP DECLARATION

[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](http://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 <http://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 XIV: AVOIDANCE OF PLAGIARISM

There is extensive guidance on the avoidance of plagiarism on the University website. Please ensure that you read the Proctors' and Assessor's *Essential Information for Students*, <http://www.admin.ox.ac.uk/proctors/info/pam/index.shtml> and also the Education Committee's information on plagiarism at <http://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 XV: INFORMATION ON THE M.LITT. DEGREE

The rules for the M.Litt. are set out in chapter 14 of 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 is fifteen terms, but the Committee will normally recommend an extension of only three terms 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 XVI: 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. However, all those concerned believe that it is important for students to be clear about how to raise a concern or make a complaint, and how to appeal against the outcome of assessment. The following guidance attempts to provide such information.
3. Nothing in this guidance 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.
4. Many sources of advice are available within colleges, within faculties/departments and from bodies like 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.
5. 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*

1. If your concern or complaint relates to teaching or other provision made by Oxford Department of International Development, 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.

2. If you are dissatisfied with the outcome, then you may take your concern further by making a formal complaint to the University Proctors. A complaint may cover aspects of teaching and learning (e.g. teaching facilities, supervision arrangements, etc.), and non-academic issues (e.g. support services, library services, university accommodation, university clubs and societies, etc.). A complaint to the Proctors should be made only if attempts at informal resolution have been unsuccessful. The procedures adopted by the Proctors for the consideration of complaints and appeals are described in the Proctors and Assessor's Memorandum (<http://www.admin.ox.ac.uk/proctors/pam>) and the relevant Council regulations (<http://www.admin.ox.ac.uk/statutes/regulations>).

3. 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

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

2. 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. As noted above, the procedures adopted by the Proctors in relation to complaints and appeals are on the web (<http://www.admin.ox.ac.uk/statutes/regulations/>).

3. 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.

4. Please remember in connection with all the cases in paragraphs 1 – 3 above that:

a) The Proctors are not empowered to challenge the academic judgement of examiners or academic bodies.

b) 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.

c) On no account should you contact your examiners or assessors directly.

5. The Proctors will indicate what further action you can take if you are dissatisfied with the outcome of a complaint or appeal considered by them.

## APPENDIX XVII: FIELDWORK SAFETY AND TRAVEL INSURANCE

Research students undertaking fieldwork abroad are required to read the Safety in Fieldwork notes and to complete the Safety in Fieldwork questionnaire, Travel Insurance applications and risk assessment form as well as having to complete the Research Ethics (CUREC form – see Appendix XI for full information about the procedures for this form).

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 Director of ODID 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: <http://www.admin.ox.ac.uk/uohs/at-work/travel/#d.en.1963>. There is also a useful guide entitled 'Travel Tips' at: <http://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.**

## APPENDIX XVIII: USEFUL UNIVERSITY WEB ADDRESSES

### Student Gateway

<http://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.

### Student Gateway - Health and Welfare

<http://www.ox.ac.uk/students/shw/>

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

### Oxford University Statutes and Regulations website

<http://www.admin.ox.ac.uk/statues/regulations/>

### Oxford University Diversity and Equal Opportunities Unit

<http://www.admin.ox.ac.uk/eop/>

This contains information on a variety of matters.

### Oxford University Proctors' Office

<http://www.admin.ox.ac.uk/proctors>

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

### Oxford University Research Services

<http://www.admin.ox.ac.uk/rso/>

### **Occupational Health**

<http://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**

(<http://www.bodleian.ox.ac.uk/bodley>)

### **Careers Service**

(<http://www.careers.ox.ac.uk/students/postgraduate-students/>)

### **IT Services**

(<http://www.it.ox.ac.uk/>)

### **IT Learning Programme**

(<http://www.oucs.ox.ac.uk/itlp/>)

### **Language Centre**

(<http://www.lang.ox.ac.uk/>)

### **Institute for the Advancement of University Learning**

<http://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**

<http://www.admin.ox.ac.uk/councilsec/dp/index.shtml>

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

Oxford Department of International Development: <http://www.qeh.ox.ac.uk>

## **APPENDIX XIX: USE OF DISPLAY SCREEN EQUIPMENT**

Please refer to ODID Weblearn pages for [Display Screen Equipment](#) notes, and [University Policy Statement S3/o3](#) (Display Screen Equipment):

### 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:

Ms. Denise Watt, Room 20.19, Mansfield Road, ☎(2)81803

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 XX: COPYRIGHT GUIDELINES FOR PHOTOCOPYING AND SCANNING

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### Further information

The University's Licence Co-ordinator is Charles Shaw, Secretary, Academic Services and University Collections, University Offices ([charles.shaw@admin.ox.ac.uk](mailto:charles.shaw@admin.ox.ac.uk); tel:(2)80563). Members of staff in the

Bodleian Libraries should contact Mike Heaney, Executive Secretary (michael.heaney@bodleian.ox.ac.uk; tel:(2)77236) in the first instance. See also 'User Guidelines' on the CLA website.

## APPENDIX XXI: 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](#).

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