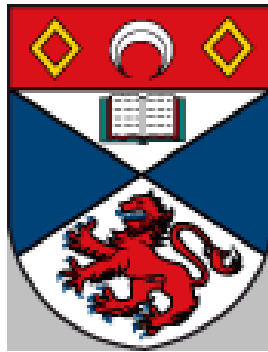


UNIVERSITY OF ST ANDREWS



SCHOOL OF ECONOMICS & FINANCE

Research Studies in Economics & Finance

RESEARCH STUDENT HANDBOOK

SESSION 2011/2012

Directors of Programme: Professor Paola Manzini

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HANDBOOK

Postgraduate Research in the School of Economics & Finance

This part contains background information on life in the School, and the administration of postgraduate research, in the School. The latter covers the process for reviewing your progress, and the School Postgraduate Training Programme.

Professor Paola Manzini has overall responsibility for the administration of postgraduate research matters in the School. Professor Paola Manzini is Director of Research. Dr. Gary Shea is Director of Taught Postgraduate Programmes. Prof Roderick McCrorie is the Head of School of Economics & Finance. Professor Marco Mariotti is deputy Director of Postgraduate Research.

Directors of Research Units are: Professor Kaushik Mitra, Director of the Centre for Dynamic Macroeconomic Analysis (CDMA); and Professor Gavin Reid, Director, Centre for Research into Industry, Enterprise, Finance and the Firm (CRIEFF). There are two School Postgraduate Secretaries: Eliana Wilson, carries out postgraduate matters relating to Taught MSc programmes and Angela Hodge, postgraduate matters relating to Research Studies.

The School has a number of Research Groups in Macroeconomics, Finance, Competition and Innovation, and Household Behaviour. All postgraduate students are expected to attend and to participate in the School research seminars and Brown Bag meetings. They should also aim to attend such research seminars as are run by the various Research Groups, according to research interest, and advice of supervisors.

Contacts for important personnel mentioned above are:

Professor Paola Manzini (Director of Postgraduate Research)	Room G14E	Tel: 462436
Professor Roderick McCrorie (Head of School)	Room G5W	Tel: 462482
Dr. Gary Shea (Director of Postgraduate Taught)	Room S3	Tel: 462441
Professor Marco Mariotti (Deputy Director of Postgraduate Research)	Room F3 Room F8	Tel: 462438
Angela Hodge (Postgraduate Secretary Research)	Room F1	Tel: 462443
Caroline Moore Health and Safety Co-ordinator	Room F1	Tel: 462440
Liz Pert-Davis Disabilities Co-ordinator	Room G4aW	Tel: 462398
Eliana Wilson (Postgraduate Secretary Taught)	Room G 19 E	Tel: 462439

Key Matters of Information

The information contained here gives:

- Background Information on the School of Economics & Finance
- Details of the School of Economics & Finance Progress Review process;
- The timetable for your Progress Review meetings;
- Details of the School training programme;

It is your responsibility to:

- Inform yourself of how the School functions
- Attend such courses or training programmes as your supervisor suggests
- Complete the necessary preparations for your Progress Review;
- Attend, as necessary, any Postgraduate Review meetings;
- Complete your agreed training requirements;
- Keep the record of training that you have completed up-to-date.

Programmes Offered

Our School offers research supervision at MPhil and PhD levels, for high quality entrants with good research proposals that suit the research interests of the staff members (this can be found at <http://www.st-andrews.ac.uk/economics/staff/staff.shtml>). The aim of our programmes is to develop the personal and intellectual qualities of our students, so that they will have a learning experience that will enhance their ability to understand the modern world. This learning experience will foster skills such as clear thinking, analytical skills and creative work in a variety of commercial and institutional contexts.

In addition, we offer five taught MSc programmes: 1) Finance (FIN), 2) Analytical Finance (AF), 3) International Finance (IF), 4) Money Banking & Finance (MBF), and 5) International Strategy & Economics (ISE).

Research Tradition

St Andrews has a tradition in economics and finance, dating back over one hundred years. Today, we have a large and well-established group of staff who are active in teaching, research and publishing in economics and finance, over a broad range of topics.

The School of Economics & Finance is located in Castlecliffe, a beautiful listed building of Edwardian mansion design, on The Scores, overlooking St Andrews Bay. Its full staff complement is 27, including 10 Professors, 2 Readers, 3 Senior Lecturers, 10 Lecturers, 2 Early

Career Lecturer and 1 Teaching Fellow, including those supported by research grants. Staff are actively engaged in research and publication. The School has a regular programme of seminars for external speakers and several internal staff workshops. Research students are expected and required to take a full part in these seminar and workshop activities.

Economics and Finance are broad and important research fields which make contact with almost all aspects of human activity: running a business, purchasing stocks and bonds, managing a charity, taking on a job or mortgage, getting married, regulating an industry, administering a loan, and so on. The strength of Economics and Finance as research disciplines is that this simple and unifying concept can be rigorously applied in many areas. These extend from core areas like the macro-economy, the firm and the household, to areas such as innovation, taxation, the environment, quality of life, the business cycle and inflation. Such research allows free rein to new ideas, of both the theoretical and empirical variety.

There is a long standing tradition within this University of placing our graduates in a wide variety of challenging and rewarding posts. These include economics, finance, commerce, insurance, industry, academia, the diplomatic service, and banking. Job placement is commonplace in the UK, Europe, and North America, and in other destinations such as China, Taiwan, Hong Kong, Japan and Thailand.

Graduates in economics and finance from St Andrews have included:

Professor Sir Alan Peacock, formerly Professor of Economics, Edinburgh, York and Buckingham, Chief Economic Advisor DTI, and Head of the UN Advisory Mission to Russia on Social Protection.

Professor Ian Wooton, formerly professor at the University of Western Ontario, then Bonar-Macfie Professor of Economics, University of Glasgow, and now Professor of Economics at Strathclyde University, specialising in international economics.

Professor Grant Baird, formerly Chief Economist at the Royal Bank of Scotland, then Chief Executive, Scotland Europa (Brussels), and Executive Director, Scottish Financial Enterprise.

Professor Sheila Dow, formerly Senior Economist, Department of Finance, Government of Manitoba, former Director, Postgraduate Programmes in Banking and Finance, and Professor in Economics, Stirling University.

Sir John Cowperthwaite, Financial Secretary, Hong Kong (1961-71) and merchant banker with Jardine Fleming & Co, Hong Kong (1972-81).

Alex Pratt OBE, Businessman, Entrepreneur, Business Education Expert.

Alex Salmond MP, formerly Research Economist at the Royal Bank of Scotland, Leader of the Scottish National Party (SNP), MP for Banff & Buchan, First Minister of Scottish Parliament.

Research

The School is active in advanced scholarship and research. With an excellent record of wide ranging research publications, we have numerous doctoral research students working in areas related to the themes of our Master's programmes, or tailored to active research areas of School academics and their various units. Topics of research currently include models of state-dependent pricing, fiscal-monetary interaction in stochastic, dynamic general equilibrium, credit constraints and the business cycle, open economy macroeconomic models, models of endogenous growth, models of adaptive learning, environmental economics, family economics, innovation and taxation, labour economics, finance and growth, econometrics (theoretical and applied), time series analysis, corporate finance, financial markets and institutions, economics of banks, game theory and theory of choice, determinants of corporate growth, high-technology clusters, fast-growing and long-lived small firms, intellectual property, market efficiency in emerging markets. Research students are encouraged to be part of the School's research culture, and you fully participate in seminars, 'brown bag' research meetings, contact with visiting academics, and research events. All are involved in further research training.

All these research activities are supported by research centres, devoted to rigorous research in specialist areas: the Centre for Dynamic Macroeconomic Analysis (CDMA), the Centre for Research into Industry, Enterprise, Finance and the Firm (CRIEFF), and Associated activities include the Money Macro and Finance (MMF) group, a UK/European research network, and the Seminars in Accounting, Finance and Economics (SAFE).

MPhil and PhD

The School of Economics & Finance can provide supervision in selected areas for the research degrees of MPhil and PhD by thesis, over normal periods of two and three years respectively. Under part-time registration, this period can be extended up to six years.

The MPhil is studied over two years. It has a coursework element and requires a dissertation of up to 40,000 words. The PhD is studied over three years and requires a thesis of up to 80,000 words. Topics for research for these degrees are related to the research interests of members of School. Research students have regular meetings with their supervisors at which progress is carefully reviewed.

You should have a good quality Masters degree in economics, or a cognate area, to be eligible for these degree courses. Areas of research should coincide with areas of active research of established members of the academic staff. Areas in which research students have graduated in past years include the regulation of the insurance industry, the economics of quality of life, the Scotch whisky industry, modal travel choice, macroeconomic stabilisation policy, speculative bubbles, stock exchange settlement systems, joint ventures, corporate equity linkages, foundations of macroeconomics, long-lived small firms, central bank independence, financial implications of the economic handover in Hong Kong, negative externalities of pesticide use, host country relations with oil companies, and speed of decision-making in oil independents.

Honours economics graduates who wish to pursue a PhD, but have undertaken no prior postgraduate training in economics, should apply directly to the Scottish Graduate Programme in Economics. This is an integrated doctoral programme between Scottish Economics Departments (Aberdeen, Dundee, Edinburgh, Glasgow, Heriot-Watt, St Andrews, Stirling and Strathclyde). The programme is currently run in the premises of the Economics Department of the University of Edinburgh.

School of Economics & Finance: Progress Review of Postgraduate Students

Each postgraduate student in the School of Economics & Finance is answerable to the Postgraduate Committee and to a Review Committee, the remit of which is to:

1. Monitor your progress throughout the period of your studies;
2. Recommend on progression from year to year for the degree for which you should be registered;
3. Provide constructive feedback to you and your supervisor(s) on your progress;
4. Check that you are following your agreed training programme.

The Review Committee normally consists of the Postgraduate Committee enlarged to a few senior members of staff whose research interests span the interests of the postgraduate students. These include:

1. Specialists in your field of interest. It is from these that the Internal Examiner of your thesis may be selected. In such cases, this person will also act as the Chair of your Examining Board for the thesis, including the *viva voce*.
2. Member of the Postgraduate Committee. They need not have research specialisation in your area, but do have a general command of economics and finance as a research discipline.

Members of the Review Committee may act in a support role, both to the student and supervisor. Second supervisors play a more general support role than first supervisors, and in this sense may act as tutors to their assigned students.

The Postgraduate Committee is a high level-steering committee which is in charge of overall postgraduate research issues, see link below for a comprehensive site of all information for Students and Supervisors.

- The University's 'Code of Practice for Supervisors and Students in Research Postgraduate Programmes' <http://www.st-andrews.ac.uk/media/code-of-practice-for-supervisors-and-students-in-research-postgraduate-programmes.pdf>

Progress Review Schedule

Review of your progress is implemented by a series of milestone dates and meetings, as outlined in the following timetable. Your Supervisor will decide all your training needs required for you every year, which has to be formally approved by the Postgraduate committee. It is your responsibility to complete the agreed training programme and keep a record of this. The requirements for each of these are given below.

Remember that meetings with your Reviewers are a supplement and not an alternative to the regular meetings you will have with your Supervisor, who will be the first line of enquiry for any queries or problems you may have. If you feel the need to discuss matters with another person, the above may be contacted as appropriate.

It should be noted that some postgraduate students do not matriculate at the start of the session. In such cases, the mile stone dates below need to be time shifted. However, the participation in course work will still need to proceed at the standard scheduled hours.

Year	Deadline	Action
1 st	By appointment, from 29 Sep 11	Initial meeting with Director of Postgraduate Studies
1 st	31 July 2012	First year Review Meeting
2 nd	31 July 2013	Second year Review Meeting
3 rd	31 July 2014	Third year Review Meeting

Each year you will have to produce two reports, one by the end of January and one before the yearly review meetings.

The first one is an interim report in which you are encouraged to take stock of your progress and reflect on how you should advance your research. The “interim” report does not require discussion with your supervisor and should be submitted to the PGR Secretary. The nine month report is more structured (see further details below). You will see the nine month report is more structured (see further details below). You will be given templates for both reports.

First year milestones

The first year of your PhD (or MPhil) is an important and busy time where you should be aiming to put together a 4 and 9 month report.

Your 4 month report should consist of:

- a) A review of relevant literature in your field (about 4000 words);
- b) A brief research plan giving:
 - The overall goals of your research; (i.e., what you will work on)
 - Planned research approaches and methods (i.e. how you will go about it)
 - How you expect your research to add to the existing literature, (i.e., why your research topic is important)
 - Anticipated research outcomes, (i.e. what you expect to find)

Your 9 month review should be based on research completed to date and should include a plan

of your work for the remainder of your first year and for your second and third year. It will be assessed by your Supervisor and then form the key element of the following first year Review.

Initial Review

The purpose of your initial meeting with your Reviewers is two-fold. Firstly, it is an opportunity to meet relevant staff, and to raise with them any questions you may have. Secondly, it is the forum at which your training needs, which you will have previously discussed with your supervisor (see below), will be agreed. This is important because it will be your responsibility to complete the agreed training programme and present a record of this at your first year review meeting (see below).

First year Review

The first year Review is very important. As well as generally assessing progress and giving you the opportunity to raise any issues of concern, a required outcome is to recommend whether your registration should be transferred from General Research Student to either MPhil or PhD. Although a recommendation to re-register as a PhD student is the norm for students who are planning to do a PhD, it is not automatic.

Transfer to a PhD programme will depend upon:

- Meeting deadlines for the submission of reports;
- Satisfactory assessment of your reports and performance;
- Satisfactory completion of your Training Programme.

To meet this final requirement, you will need to present a record of training that you have completed, to your Reviewers.

Completion of all agreed parts of the Training Programme is normally required. If for exceptional reasons (e.g. illness) you have had to miss a training session, then the reasons must be documented in the appropriate space in your Logbook. More details on the requirements of your training programme are given below. The nine month report should be handed in at least a week before the meeting

Second year milestones

Your second year is typically a time of data collection, processing and analysis, if the research is empirical, or of formal statement of problems, development of key results, and extension of key results, if the research is theoretical. Towards the end of the year, you will have a short meeting with your Reviewers.

In your report you should:

- Produce some figures and/or tables of results that you intend to include in your final thesis. You can use these to explain and discuss your results at the meeting;
- Produce a timetable for your third year work, indicating when field work will be completed, and giving target dates for writing up.

You are expected to hand in your report at least a week before the meeting.

Third year milestones

In your third year the emphasis should be on the completion of practical work and data analysis, if the work is empirical, or completion of all analytical results if the work is theoretical; and on planning and writing your thesis. It is the policy of the School of Economics & Finance that all PhD students should aim to complete their theses within three years, but it is recognised that many students will need some extra time for writing up. The University allows you a continuation year for this purpose but you are strongly encouraged to complete your thesis within three years or as soon as possible thereafter. Remember that it is University policy that you **must** complete your thesis within four years.

Towards the end of your third year, you will have a short meeting with your Review Committee. Your report should contain a brief thesis plan indicating the status of each chapter, deadlines for completing unfinished chapters and a target date for submission. You should submit your report a week prior to the meeting at the latest.

Postgraduate Training in the School of Economics & Finance

As described above, at your initial meeting with your Reviewers, a personalised training programme tailored to your needs will be agreed. This will include elements from the University Postgraduate Training Programme (see Part I) and the School Postgraduate Training Programme (see below), and any other project-specific training.

These training activities are designed to complement the specific research training you will receive through your field-based project. For satisfactory progression, you are expected to pass each taught component with a mark of at least 16 on the 20 point scale.

Postgraduate Training Programme

The School Postgraduate Training Programme consists of courses (as appropriate) and seminars. These aim to broaden and extend your postgraduate education, in areas that are not covered by the University Postgraduate Training Programme. Successful completion of your training will require satisfactory participation in this programme. Part of the broader input will arise from various research seminar programmes within the School of Economics and Finance, which all students are expected to attend. You are required to attend at least 80% of the seminars in each series (departmental seminars, brown bags seminars, etc).

Your training may also include modules from Honours courses provided within the School of Economics and Finance, or modules from the taught MSc courses.

Postgraduate Presentations

Every year, (typically in the 12th week of the Candlemas Semester) postgraduates are required to give a presentation of their work. The audience is made up of fellow postgraduate students, and the School's academic staff. You are expected to give a 20 minute presentation on the current status of your research, paying specific attention to five points: (i) knowledge and understanding of the relevant research literature; (ii) setting out objectives, carrying them through and reaching conclusions; (iii) research contribution in terms of evidence, analysis and implications; (iv) delivery and exposition (including support by overheads, hand-outs etc); (v) evidence of progression to a satisfactory research outcome.

You will prepare your presentation in consultation with your supervisor, who will advise you as necessary both on its content and on the way you present. Academic staff will return comments on your presentation, and you will get detailed feedback, based on these returns.

First year Training Programme

The courses included in the School of Economics & Finance Postgraduate Training Programme in first year are listed below. A more detailed timetable is available. All mainstream Economics & Finance research students (MPhil and PhD) are typically required to take, and to pass the with a mark of at least 16 on the 20 point scale, two 20 credit modules in optimization and in econometrics in Semester 1 of their first year of postgraduate research registration: These are based on the existing modules of EC5702 and EC5703. Here, the focus will be on techniques that students will learn, rather than on the specific applications area, which in this case is finance.

Semester 1

EC5702 Optimization in Finance

Semester 2

EC5703 Financial Time Series Analysis or EC5609 Financial Econometrics

Second Year Training Programme

In your second year you should attend the elements of your Training Programme that you did not attend in Year 1 (of course with the same requirement of obtaining a mark of at least 16 on the 20 points scale), and all relevant Research and Brown Bag Seminars (at least 80% of seminars in each series). Attendance at national and international Symposia and Conferences is considered desirable if fundable. Remember to record all external events.

Third Year Training Programme

In your third year you should attend the elements of your Training Programme that you did not attend in Years 1 and 2 (of course with the same requirement of obtaining a mark of at least 16 on the 20 points scale), and Research and Brown Bag Seminars (at least 80% of seminars in each series). Attendance at national and international Symposia and Conferences is desirable if fundable. Remember to record all events.

The emphasis at this stage of your studies should be on the completion of practical or theoretical work and data analysis or theoretical extensions, and on planning and writing your thesis. Your supervisor will play the major role in advising you but your Postgraduate Tutor will also be available for advice. For example, you might ask your Supervisor and Tutor to arrange a mock oral and interview for you.

Forms of PhD

In the School of Economics & Finance several forms of PhD structures are recognised. These are not intended to supplant the university guidelines, which are very clear on the requirements for a PhD, in terms of length of work, scope, originality, scholarship, literacy, contribution to knowledge, and literacy. However, the following elaborate on forms that a PhD may take.

1. Integrated work of length up to the maximum permitted (currently 80 thousand words), intended to treat a large single topic in a detailed and integrated way.
2. Set of works, of total word length less than 80 thousand words, intended to treat a sequence of focussed research problems, all on the same topic, in a detailed way (e.g. by advanced theoretical methods, or by specialised empirical methods).
3. Set of works, of total length less than 80 thousand words, intended to treat a sequence of focussed research topics, on separate topics, related by a common theme. For example the common theme could be a particular industry, but the this could be analysed by three different methods (e.g. theory, econometrics, case study), and each could address different themes.

It is recommended that the thesis length should be confined to a word length below the maximum permitted (80 thousand words), and above forty thousand words. These limits would only be exceeded by seeking specific exemptions (e.g. to be longer because of extensive supplementary material, such survey instruments, or computer code; or to be shorter because the content is analytically deep, and consisting of intensely detailed mathematical workings).

Evaluation of PhD by the Examination Process

Existing university guidelines are clear on how the PhD thesis should be examined. The more detailed guidance given below is not intended to supplant the university guidelines, which are very clear on the basis for evaluating a PhD. However, they elaborate on them in a way that is appropriate to the study of Economics & Finance.

Naturally, the examination must cover: quality and originality; contribution to the field; quality in relation to other PhDs that have been examined; publishability of the work; quality of the English expression; concerns to be addressed in the viva. These guidelines embody the University of St Andrews agreed procedures, and these are notified to both Internal and External examiners.

Specifically in the School of Economics & Finance, the guidelines can be expanded as follows.

The weight to be given to the criterion of ‘publishable quality’ is a matter of expert professional judgment. It can not be captured in a simple rule or algorithm. However, for guidance the following may be helpful.

1. In the case of an extended PhD the whole, or parts, must be of publishable quality: in book form, as chapters in a book (with publishing houses of good academic standing); or as articles in good journals.
2. Normally, the kind of publishable ‘weight’ one is looking for is three articles in good journals, but flexibility in interpretation is important, as forms of PhD can vary widely. It is not necessary that the content already be published in any form, nor that the ultimate intent of the candidate necessarily is to publish. The issue is ‘publishability’ not whether material has or will be published. That said, evidence of publication is to be treated as potential sign of thesis quality, but is neither a necessary nor sufficient condition for deeming a thesis, considered as an entire work, to be satisfactory.

Ethics Approval of Research

Ethics Committee

The University requires that all research activities that involve data collection from, interview of, interactive investigation of, experimentation upon or demonstrations involving living human subjects must have the prior approval of the School’s Ethics Committee. The School’s research ethics guidelines and application process can be accessed from the School’s website at <http://www.st-andrews.ac.uk/intrel/research/ethics/>

If necessary, an application may be referred to the University Teaching and Research Ethics Committee (UTREC) Further information is available at <http://www.st-andrews.ac.uk/utrec/>.

Guidance can be sought from the secretary on econpgr@st-andrews.ac.uk

Health and Safety

In the first instance contact Caroline Moore on ext: 2440 or Angela Hodge on ext: 2443. If neither members of staff are available a first aid box can be found hung up in the kitchen,(please use only for emergencies).

In and out of normal working hours, emergency procedures including relevant telephone numbers are to be found on the notice board in the Common Room, if in doubt, phone the 24 hour janitor on ext 3985. Fire drills are held on an annual basis.

Printing and Binding

The University’s Print & Design Unit is ideally set up to print and/or bind your dissertation and thesis. You can send your material in PDF format (with a note of pages to be printed in colour) to: printanddesign@st-andrews.ac.uk and then they will be in touch when your job is ready. Price lists and further information: www.st-andrews.ac.uk/printanddesign/

Risk Assessment

If you plan to undertake any field work please provide Angela Hodge Postgraduate Research Secretary on pgr@st-andrews.ac.uk with contact details and information on the level of risk you may encounter.

Seminars

Seminars with invited speakers are usually held weekly in room F2 during term time. A programme is published at the beginning of each term on the school website. Brown bags are also presented at 1-2pm every Wednesday in room F2 in term time. For satisfactory progression you are required to attend at least 80% of the seminars in each series.

Skills Development

The University places great importance on providing research students with a stimulating learning environment within which you can improve the depth of knowledge of your chosen field, work to complete your degree successfully within the allocated time, and develop personal and professional generic skills to enhance your future employability and career development. The University's **CAPOD** programme provides a wide range of generic skills training courses and other opportunities specifically for research students that are complemented by subject-specific programmes within individual academic schools. In line with national Research Council recommendations, the University expects that each research student should spend approximately 10 days each year focusing on their generic skills development. Improving your level of competency in a range of generic skills is most likely to be achieved through a combination of these formal training courses followed by the practical application of the skills you have been taught. Your Supervisor and other staff will be able to advise you about opportunities available at St Andrews to help you enhance your skills as you progress through the different stages of your degree.

Individual Development Needs Analysis

Postgraduates start their doctoral degrees with widely differing levels of generic and research skills and so it is important that you review those skills with your Supervisor before drawing up a plan for your skills development. To help you achieve this goal, you should complete the Development Needs Analysis ("DNA") that has been sent to you with your welcome pack (and which is also available from <http://www.st-andrews.ac.uk/GRADskills/>). Following the general and subject-area-specific induction sessions at the start of the semester, you will meet with your Supervisor to discuss this analysis and to formulate the most appropriate programme for your own personal development. This is likely to include elements drawn from courses provided by GRADskills and your School, and other courses as deemed necessary to help you complete of your degree. This programme will be approved by your School Postgraduate Convener.

Your development needs will be reviewed annually. The annual School report on your progress will indicate what training you have completed and identify future needs. You must confirm in your annual report to Faculty that you have completed the agreed programme and whether or not it is meeting your needs. You are required to maintain a record of the skills training that you have completed. This record must be shown to, and agreed by, your principal Supervisor and be available for inspection at your progress review meetings.

In addition to these particular courses and to other requirements already stated you are required to attend and participate in internal courses, seminars, presentations, demonstrations, and teaching and discussion groups as agreed with your principal supervisor and your School Postgraduate Convener. You are also expected, as appropriate, to attend and participate in external seminars, conferences and discussion forums, (information should be added to your annual progress report.)

Failure to meet your training requirements agreed with the School will be reported to the

appropriate Pro Dean who may refer the matter to the Faculty Business Committee for action.

Key Contact Information

School office Tel:01334 462443

Director of Postgraduate Studies.Tel:462436

Disability Co-ordinator Tel: 462398

Health & Safety Officer Tel: 462443