

Graduate Research Student Handbook

Mathematical Institute

2019

Contents

1	Sources of Information	5
1.1	The Examination Regulations	5
1.2	The Proctors' and Assessor's Memorandum	5
1.3	Statements of Provision for Research Students	5
1.4	The Mathematical, Physical and Life Sciences Division Graduate Handbook	6
2	Useful Contacts	7
3	Finding Your Way Around	9
3.1	The Mathematical Institute	9
4	Terminology	10
5	Studying for a Research Degree	12
5.1	The Nature of Research	12
5.2	Roles and Expectations	12
6	Skills, Careers and Broadening Training	15
6.1	Skills training and career development	15
6.2	Outreach	16
6.3	Broadening	16
6.3.1	Seminars, Workshops and Colloquia	17
6.3.2	Exemptions for previous study	17

6.4	Research Integrity	17
7	Monitoring Progress	19
7.1	Termly Reporting	19
7.1.1	Flagging concerns	19
7.2	Transfer of Status	20
7.2.1	Preparing for the application to transfer from PRS to DPhil or MSc by Research status	20
7.2.2	Timing the application	22
7.2.3	Making the application for transfer to DPhil Status	23
7.2.4	After the application has been made	23
7.2.5	Checklist for students	24
7.2.6	Transfer to MSc by Research	25
7.2.7	Transfer from MSc by Research to the status of DPhil Student . . .	26
7.3	Confirmation of DPhil Status	26
7.3.1	Checklist for students	28
7.4	Submission and Examination	29
7.5	Proof-reading	29
7.5.1	Wording permission for 3rd party material	30
8	Study Requirements	31
8.1	Residency requirements	31
8.2	Suspensions, Extensions, Lapse of Status and Reinstatement	31
8.2.1	Suspensions	31
8.3	Extensions	32
8.4	Lapse of Status and Reinstatement	32
8.4.1	Reinstating your status	33
8.4.2	Reinstatement cases requiring Education Committee Approval: . . .	33
9	University's Policy on Plagiarism	34
10	Guidance for the deposit of successful theses	34
11	Oxford Digital Theses	35
12	Graduate Activities	36
12.1	The Lecture List	36

12.2 Seminars	36
13 Conference Funding and Travelling Expenses	37
13.1 Travel Insurance	37
14 IT Facilities in the Mathematical Institute	38
14.1 Applying for Computer Resources	38
14.2 Using Your Own Computer	38
14.3 Computer Provision	38
15 Libraries	39
16 Joint Consultative Committee with Graduates	39
17 Hardship Funding	41
17.0.1 Esson Bequest Fund	41
18 University Gazette and Oxford Blueprint	42
18.1 University Club	42
19 Heads of Subject Groups in Mathematics 2019-2020	42
20 Department and University Policy Statements	43
20.1 Complaints and academic appeals within the Mathematical Institute	43
20.2 University Policy on Intellectual Property	44
20.3 Regulations Relating to the Use of Information Technology Facilities and University Policy on Data Protection and Computer Misuse	44
20.4 Safety Information	44
20.5 Action in Case of Emergency	45
20.6 Statement of Safety Policy	45
20.7 Statement of Health and Safety Organisation	45
20.8 Departmental Health and Safety Committee	45
20.9 Code of Practice-Harassment	46
20.10 Equal Opportunities	46
20.11 Policy on Student Parents	46
21 Student Support	46

Welcome

Welcome to, or welcome back to, the Mathematical Institute and the University of Oxford!

The purpose of this handbook is to provide you with information about the way the department operates, key stages in progressing towards your DPhil. degree, financial matters and pastoral care. If there are any questions you still have please ask someone. The two Directors' of Graduate Studies, the Graduate Studies Administrator, and I are here to help you as research students. But anyone in the department - other research students, post-docs and members of staff - will be happy to answer questions about the department and university.

I hope that your time as a research student in the Mathematical Institute will be enjoyable and mathematically fruitful.

Professor Mike Giles
Head of Department

1 Sources of Information

This handbook is designed as a guide for graduate research students in the Mathematical Institute. It does not replace the official regulations relating to your degree, which you will find in the *Examination Regulations*, but it is a less formal and more easily understood guide to being a research student in the Mathematical Institute. It also contains general information about the Department, people, facilities and safety.

There is an edition of this handbook on the Mathematical Institutes website at:

<https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/handbooks>

In addition to this handbook there are some important sources of information that you should make sure you are familiar with.

1.1 The Examination Regulations

The *Examination Regulations* is the authoritative document on the regulations for the University degrees and examinations. The *Examination Regulations* defines the rules for admission to and progression through the programmes of study and the syllabus for examinations. The regulations are available on-line at:

<http://www.admin.ox.ac.uk/examregs/information/contents/>.

1.2 The Proctors' and Assessor's Memorandum

The University has two Proctors, the **Senior Proctor** and the **Junior Proctor**, who are responsible for making sure that the University operates according to its statutes. As well as being members of key decision-making committees, they deal with

- University (as distinct from college) student discipline
- complaints about University matters
- the running of University examinations
(<http://www.admin.ox.ac.uk/proctors/>)

They also carry out ceremonial duties, e.g. at degree ceremonies. The **Assessor** is the third senior officer, responsible particularly for student welfare and finance.

The Proctors' and Assessor's Memorandum is the document relating to the rules and the statutes of the University which you are expected to follow. This can be found at:

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

1.3 Statements of Provision for Research Students

These detail the provisions that have been made for you by the University and the Colleges. The statement that is applicable to you is written by the Mathematical Institute; this can be found at:

<https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/important-links>

1.4 The Mathematical, Physical and Life Sciences Division Graduate Handbook

The division also have a graduate website which includes information for graduate research students, which you should make sure you are familiar with. This can be found at:

<https://www.mpls.ox.ac.uk/graduate-school/information-for-postgraduate-research-students>.

2 Useful Contacts

Head of Department Prof M Giles	73534	mike.giles@maths.ox.ac.uk
Director of Graduate Studies (Research) Prof J Sparks	15324	james.sparks@maths.ox.ac.uk
Director of Graduate Studies (Taught) Prof R Hauser	15308	raphael.hauser@maths.ox.ac.uk
Graduate Studies Administrator Sandy Patel <i>Day-to-day graduate studies/admissions</i>	15208	graduate.studies@maths.ox.ac.uk
Graduate Studies Assistant Helena Gardner	80102	helena.gardner@maths.ox.ac.uk
Finance Manager Louise Kelly	15231	louise.kelly@maths.ox.ac.uk
Finance Officer Val Timms	73548	val.timms@maths.ox.ac.uk
Personnel Administrator Brenda Willoughby	73576	brenda.willoughby@maths.ox.ac.uk
Computing Officers		help@maths.ox.ac.uk
Head of Academic Administration Charlotte Turner-Smith	15203	Academic.administrator@maths.ox.ac.uk
Undergraduate Studies Administrator Gemma Proctor	15204	gemma.proctor@maths.ox.ac.uk
Director, CDT in Industrially Focused Mathematical Modelling Prof. C. Breward	70505	chris.beward@maths.ox.ac.uk
Director, CDT in Industrially Focused Mathematical Modelling Prof. C. Please	83884	colin.please@maths.ox.ac.uk
InFOMM Administrator Sarah Howle	11512	sarah.howle@maths.ox.ac.uk
Director, EPSRC CDT in Partial Differential Equations Prof. G.Q. Chen	15141	gui-qiang.chen@maths.ox.ac.uk
Co-Director, EPSRC CDT in Partial Differential Equations Prof. E. Suli	15318	endre.suli@maths.ox.ac.uk
Administator, EPSRC CDT in Partial Differential Equations Helen Lowe	15117	helen.lowe@maths.ox.ac.uk
Director, EPSRC CDT in Mathematics of Random Systems Rama Cont	80614	rama.cont@maths.ox.ac.uk
Director, EPSRC CDT in Mathematics of Random Systems Ben Hambly	15175	ben.hambly@maths.ox.ac.uk
CDT in Random Systems Administrator Melanie Witt		melanie.witt@maths.ox.ac.uk

Room Bookings		room-bookings@maths.ox.ac.uk
Research Facilitator Christopher Voyce	83888	voyce@maths.ox.ac.uk
Librarian: Whitehead Library Cathy Hunt	73559	cathy@maths.ox.ac.uk
Reception	73525	reception@maths.ox.ac.uk
Premises Tom Rigault	15103	rigault@maths.ox.ac.uk
Harassment Advisor Panos Papazoglou Heather Harrington	73533 73510	papazoglou@maths.ox.ac.uk harrington@maths.ox.ac.uk
Safety Officer Keith Gillow	80605	safety-officer@maths.ox.ac.uk
Disability Coordinator Charlotte Turner-Smith	15203	charlotte.turner-smith@maths.ox.ac.uk
Disability Lead James Sparks	15324	james.sparks@maths.ox.ac.uk

3 Finding Your Way Around

Your academic life in Oxford will involve two intimately connected but distinct institutions. You are a member both of a College and of the University; your supervisor is a member of the Mathematical Institute and possibly a member of a different college. Your college will also allocate a college advisor to you.

In principle, the University exists to enable you to study for a research degree, to monitor your progress, to examine you at the end of that study, and to award you a degree. Your College exists to support and advise you.

3.1 The Mathematical Institute

An entry card system controls access to the building. Your University card, which you collect from your college at the beginning of term will gain you access to the building, and will operate internal doors where they have security control. Instructions on how to activate your card will be made available to you at the Graduate Induction. If your card fails to allow you access, please contact door-entry@maths.ox.ac.uk giving your name, card number and expiry date.

Rules governing access to the Mathematical Institute are as follows:

1. Cards are issued on a personal basis and must not be loaned or passed on to another person.
2. No-one should allow access to another person.
3. When a card is used to gain access to the building, the system keeps a record of that use for a period of approximately six months.

The Mathematical Institute houses lecture theatres and class rooms in which most of the university lectures in Mathematics take place. There are also a number of offices, most of which are occupied by academic staff, support staff and research students.

Opening Hours The Andrew Wiles Building is open from 8am to 6pm Monday to Friday, except closed periods such as Bank Holidays out of term time. Reception is manned from 8am to 5.30pm. Outside these hours, access to the building is by University card and a personal pin code. Instructions on how to set your personal pin code will be made available to you at the Graduate Induction or can be found via the following link <https://www.maths.ox.ac.uk/members/building-information/opening-hours-access-control>.

Social area The department has a Common Room which is located on the first floor. There are tea/coffee making facilities on all floors. A cafeteria serving food and drinks can be found in the mezzanine.

Smoking Smoking is not permitted anywhere in the Andrew Wiles Building. Smoking on the Radcliffe Infirmary site is permitted in designated smoking areas only.

4 Terminology

Matriculation Matriculation is the formal University admission procedure and is organised by your college.

University terms The three University ‘full’ terms are:

Michaelmas (13 October - 07 December)

Hilary (19 January - 14 March)

Trinity (26 April - 20 June)

Key dates

Friday 0th Week Michaelmas 2019 (11 October 2019)

Friday 0th Week Hilary Term 2020 (17 January 2020)

Friday 0th Week Trinity Term 2020 (24 April 2020)

Friday 0th Week Michaelmas Term 2020 (9 October 2020)

Each term lasts eight weeks, but terms simply set the periods during which formal instruction is given by way of lectures, seminars and tutorials. The University functions throughout the year and as a research student you will need to work in vacation as well as in term time (apart from reasonable breaks).

Subfusc The University Examination Regulations state that all members of the University are required to wear academic dress with *subfusc* clothing when attending formal University events such as matriculation and University examinations. Details of what subfusc consists of can be found via the following link:

<https://www.ox.ac.uk/students/academic/dress?wssl=1>

Graduate Terminology The following are some of the terms that are particular to graduate research students.

PRS(Probationary Research Student) - The name given to students when they are admitted to study for a research degree, usually held for the first year and no longer than six terms.

Transfer of Status - An examination that allows the student to progress from PRS to either DPhil or MSc by Research status.

Confirmation of Status - An examination, which usually takes place after three years, that allows a DPhil student to progress to the submission of the DPhil thesis.

(Graduate Supervision Reporting) - An online system for compulsory termly reporting by graduate students and their supervisors on the progress of the research degree.

<http://www.admin.ox.ac.uk/studentsystems/GSR>

Graduate Studies Office (GSO) - An administrative centre for graduate studies, which

manages the process for monitoring student progress, application for suspension and final examination. These applications are made on GSO forms which are available from:

<http://www.ox.ac.uk/students/academic/guidance/graduate/progression>

DGS (Director of Graduate Studies) - The Director of Graduate Studies (Research) and the Director of Graduate Studies (Taught) are responsible for graduate studies and students in the department. They manage the administrative arrangements for supervision, transfer/confirmation of status, extensions of time, and thesis , including appointment of examiners. The Director of Graduate Studies (Taught) is responsible for all probationary research students up to application for Transfer of Status. The Director of Graduate Studies (Research) is responsible for all DPhil students from application for Transfer of Status to completion of studies. In the Mathematical Institute the DGS(R) is Professor James Sparks and the DGS(T) is Professor Raphael Hauser, and they are assisted by the Graduate Studies Administrator, Sandy Patel.

5 Studying for a Research Degree

You have chosen to study for a research degree, either DPhil or MSc by Research. You may have just completed an undergraduate degree, or perhaps a taught Masters course. If so, your study has so far been organised for you - the courses were designed, lectures given, textbooks selected and examinations set. A research degree is very different, in that you will have the responsibility for managing your learning, including determining a problem to study and carrying out the work.

Your *supervisor*, or in some cases joint supervisors, will guide you in your research. Further support will be available from your *college advisor*. We also encourage all students to find a *mentor* (see further details below).

5.1 The Nature of Research

Some students arrive in Oxford knowing precisely what their research topic will be: others have little more than an idea of its general area. Someone once described research as ‘Finding out something to find out, then finding it out’; the first part is often harder than the second. Consequently some students focus rapidly on their thesis work whilst others spend much of the first year before beginning to do so. However, it is important for all research students - even those who know precisely what their field of research is going to be - to acquaint themselves with as much as possible of the work going on in the Mathematical Institute. It is vital for life-after-graduation that you be able to relate different areas and views. There are many points in common between research fields and many useful ideas can be borrowed from fields other than your own. The Mathematical Institutes’s seminar series and advanced courses are held partly for this purpose.

Research is not easy! Sometimes long periods can pass without any progress seeming to take place; at other times everything seems to happen at once. You should not be too down-hearted if the going appears to be hard at times - most of the lecturers and research staff have had a similar experience so there is always someone sympathetic to talk to. But you need to be proactive in seeking help, from staff and peers.

5.2 Roles and Expectations

Supervisor When you arrive in Oxford, most of you will already know the name of the supervisor provisionally allocated to you. It is up to you to make contact soon after you arrive. If you do not know the name of your supervisor, you should approach the head of the research group which you are joining. As your first year progresses, if either you or your supervisor are unhappy with the arrangement, changes can be made. It may become clear that your interests are converging on a research topic which can be supervised more appropriately by another member of staff, in which case your supervisor could be changed. In some cases joint supervision is arranged. The close working relationship with your supervisor is likely to be the most important element during your research life in the department, and much of the first year will be spent on arriving at a good working relationship. The nature of this relationship will depend to a large extent on individual work patterns, but

some useful guidelines can be found in the *Brief Guide to the roles of students an supervisors and the Code of Practice on the Supervision of Graduate Research Students*, which can be found at <http://www.mpls.ox.ac.uk/study/currentpostgraduates/information-for-postgraduate-research-students/supervision>

In spite of the range of styles of interaction between supervisor and research student, it is important that you meet on a regular basis. We advise that you should meet with your supervisor *at least* 4 times per term. A more typical pattern is *weekly*, at least until you reach the stage of writing up your thesis.

It is important that all graduate students are aware of their own responsibilities as a research student, but also those of their supervisor. Information on the responsibilities of students and supervisors can be found in the *Memorandum of Guidance for Research Students and their Supervisors*

Responsibilities of the Supervisor:

<http://www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees/section4supervision/#d.en.136713>

Responsibilities of the Student:

<http://www.admin.ox.ac.uk/edc/policiesandguidance/policyonresearchdegrees/section5responsibilitiesofthestudent/>

Buddying Each incoming graduate student is assigned a buddy: a current Maths graduate student. The role of the buddy is to contact the new student before they start, to welcome them to Oxford, and to help them to settle in to the new life as an Oxford Mathematics graduate student. You will have an opportunity to return the favour by becoming a buddy in the future!

Mentoring We encourage all research students to find a mentor. A mentor may be a post-doc, member of faculty, retired member of faculty, or even a more senior graduate student. The aim of the mentoring relationship is to support you in developing skills and knowledge which will enhance your career and/or personal growth. It is suggested that you should find a mentor during Hilary or Trinity Term of your first year. It may work well when your mentor is in the same sort of field as you, but they don't have to be working on the same thing and they don't need to be able to give you detailed advice about your work. Your supervisor can give you advice on who to approach. There is also a member of faculty in each Research Group who has particular responsibility for graduate students, and who can help you to find a mentor. (See details at <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/mentoring>.) Once you have found someone who agrees to be your mentor, they will keep an eye out for you, for example you might have an occasional chat with your mentor at tea after seminars. It can be extremely valuable for you to have someone you can chat to about how things are going: sometimes another perspective is very useful. Further information will be circulated by email, so please watch out for this. See also <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/mentoring> for further guidance.

College Advisor Your *college advisor* is a member of your college who has been assigned to you to provide an additional source of support.

If something goes wrong If you find any aspect of your supervision unsatisfactory, and you feel unable to discuss it with your supervisor, you should contact the Director of Graduate Studies or the Academic Administrator. If you are unsure about who to speak to feel free to contact Sandy Patel, Graduate Studies Administrator.

6 Skills, Careers and Broadening Training

6.1 Skills training and career development

Developing research, subject specific, personal and professional expertise is crucial to the success of your future career. The skills and experience that got you to where you are now will not necessarily be sufficient to get you to where you want to go next, and so it is important that you continue to develop both depth and breadth of your expertise. The importance of this has been recognised by stakeholders such as the Research Councils and RCUK.

The Department and wider University offer a range of training provision which covers research, academic and transferable career skills. Students are expected to take responsibility for shaping their own training, supported by their supervisor.

Details of courses available, and further information, can be found on the web at <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training>.

Please note:

- There is a specific requirement to undertake 100 hours of 'broadening' training: courses which are designed to broaden the student's knowledge and understanding of the Mathematical Sciences in particular (see next section or the website at <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training/broadening-training>).
- Many important skills can be developed through teaching, and each DPhil student is expected to participate in teaching. The Institute runs a Training in Teaching Programme to support students in developing these skills. You will be introduced to this at your induction session. For further details see <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training/training-teaching>
- All research students are asked to undertake teaching within the department. More specifically students who started from October 2018 are required to teach at least one set of classes before transfer of status and one further set of classes before confirmation of status. This will usually take the form of acting as Teaching Assistant or Class Tutor for a particular undergraduate course. You should make sure you have your supervisors permission in advance.

Many of you will have no previous teaching experience, but to give you some insight into what teaching at Oxford involves a half-day training session on teaching methods is held at the beginning of each academic year. It is expected that all new DPhil students will attend this course. DPhil students are not allowed to help with class teaching and marking unless they have attended the seminar on class teaching.

6.2 Outreach

Students are welcome and encouraged to participate in the outreach events run by the department, which are generally aimed at UK school students. Students can sign up to a mailing list to be informed of events needing helpers and can also participate in the Early Career Academic Outreach Network - a university-wide initiative which provides training for researchers interested in communicating their research to a wider audience. The department also runs a student ambassador scheme, with training sessions held in Michaelmas Term, and The Mathemagicians are a group of undergraduates and researchers who run a range of activities in Oxford and across the UK.

Students interested in giving talks or finding out more may also contact the Schools Liaison Officer to discuss opportunities.

6.3 Broadening

All research students must undertake broadening courses for 100 hours during their DPhil studies. These should amount to the equivalent of 5 standard 16-hour lecture courses, which may be selected from the following

- Taught Course Centre courses
- Graduate lectures and advanced classes/courses as listed in the Mathematics Lecture List
- Courses specific to any of the Mathematics MSc programmes
- MMath (Part C) courses *provided* that the student has not already taken the course (or an equivalent elsewhere).
- Courses offered by other departments, with prior approval from the DGS
- LMS/EPSRC Summer Schools, Graduate Modelling Camps and similar, with the number of hours of lectures defining the amount of training
- Other courses with approval from the DGS

The remainder of the 100 hours is to be made up via attendance at seminars and colloquia.

Students who attend Part C courses may not attend the problem classes; they are encouraged to form informal groups to discuss the problem sets, and (when space permits) the Department will facilitate booking of rooms for this purpose. Students who mark for a part C course that they have not taken themselves may consider writing a mini-project on it at the same time.

Assessment methods will vary from course to course. In general the summative outcome will be pass/fail, and any other feedback will be formative. Students offering a part C course must submit a short mini-project essay (or equivalent if appropriate, for example a documented computer program), along the lines of those for the MSc (MMSC) or the MSc

(MCF). The topic should be chosen by the student in consultation with the lecturer and the final write-up, which should be in LaTeX, should normally be between 5 and 10 pages long. This format is also the default for other courses unless other arrangements exist (e.g. some TCC courses have assessed class work).

- mini-projects must be handed in to the lecturer within 3 weeks of the end of the course
- students must also hand in a form to record the mark; mini-projects should be marked and returned to the student, and this form returned to the Graduate Studies Administrator, by week 0 of the following term. The broadening form can be found via the following link: <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training/broadening-training>

The assessors for Transfer or Confirmation of Status may ask students questions (at a fairly general level) about the topics they have covered in their broadening training.

6.3.1 Seminars, Workshops and Colloquia

All doctoral students should be attending seminars, workshops and colloquia regularly, even if not in their specialist area. Students are required to provide a list of such events attended and are encouraged to submit extended abstracts (one or two pages) of at least four of the workshops and colloquia attended.

6.3.2 Exemptions for previous study

Students who have studied for an undergraduate and postgraduate degree for a combined period of five years previous to starting the DPhil in Mathematics may apply to the DGS to have the broadening requirement reduced. In cases where exemptions are granted students will be exempt from a maximum of two of the required five courses. DTC and CDT students are exempt from the requirements, with the exception of attendance of at least 20 seminars, workshops or colloquia. For further information on how to apply for an exemption contact Sandy Patel.

6.4 Research Integrity

Research integrity is a commitment to creating an environment that promotes responsible conduct by embracing standards of excellence, trustworthiness and lawfulness. The University expects its students to maintain the highest standards of integrity in their research.

For individual researchers, research integrity entails a commitment to a range of practices including:

- intellectual honesty in proposing, performing and reporting research;
- accuracy in representing contributions to research proposals and reports;

- transparency in handling conflicts of interest or potential conflicts of interest;
- protection of participants in the conduct of research;
- humane care of animals in conduct of research.

There are no universally correct ways to do research. There are, however, standards or practice which apply generally. Researchers should:

- be aware of the legislation, codes of practice and University policies relevant to their field;
- have the necessary skills and training for their field;
- comply with the University and funded policies relating to research data management;
- be aware of the publication rules for journals they want to publish in;
- ask if they feel something isn't quite right;
- not ignore problems;
- be accountable to the University and their peers for the conduct of their research.

All researchers are expected to be committed to ethical principles and professional standards. Not upholding such standards, either intentionally or through lack of knowledge, damages the scientific process and may harm research participants, colleagues, the University and society as a whole.

Policies and resources

All those involved with research at Oxford are expected to read and abide by the University's Code of Practice and Procedure for Academic Integrity in Research <http://www.admin.ox.ac.uk/per>

Students in the MPLS Division are required to complete the online Research Integrity course <https://weblearn.ox.ac.uk/portal/site/:skills:ricourses> by the time they apply for Transfer of Status. The Division also offers face-to-face Research Integrity training <https://www.mpls.ox.ac.uk/training/course-programme-for-graduate-students/research-integrity> which complements the online course.

The University's Research Integrity website <https://researchsupport.admin.ox.ac.uk/governance/integrity> contains a number of additional resources, including links to information on authorship, conflicts of interest, research data management, health and safety, human participations in research, intellectual property, research involving animals, and research misconduct. Your supervisor will play an important role in helping you to develop skills for good practice in research, and is the first person you should ask if you have queries about any aspect of research integrity. Other sources of support and advice include your Director of Graduate Studies, other academics in your department, and the ethics advisors in University Research Services <https://researchsupport.admin.ox.ac.uk/about>.

7 Monitoring Progress

This section describes the mechanisms for monitoring progress of research degrees, including the main milestones that you will be expected to reach while studying for DPhil or MSc by Research.

These processes are managed by the Graduate Studies Office, the administrative centre for all graduates at Oxford. The specific office that you will be dealing with is the MPLS Graduate Studies Office, see <https://www.mpls.ox.ac.uk/graduate-school>. In the Mathematical Institute, the person responsible for daily oversight of these processes are the Directors' of Graduate Studies, Professor James Sparks and Professor Raphael Hauser, assisted by the Graduate Studies Administrator, Sandy Patel.

7.1 Termly Reporting

Graduate Students are required to submit a reflective report on their progress each term. This should follow on from a supervision meeting where you have discussed your progress and next steps with your supervisor. Your supervisor is also expected to submit a termly report on your academic progress. Your reflective report should be submitted through the online Graduate Supervision Reporting (GSR) (<http://www.admin.ox.ac.uk/studentsystems/GSR>). This captures information reported by both student and supervisor(s), with details relevant to each student being available to his or her supervisory team and the Director Of Graduate Studies. Your college advisor and University and college graduate studies administrators with designated access will also be able to view the report.

It is recognised that students in different situations will have differing needs and concerns. Your termly report should reflect on the progress made on your research project during the current term, you can choose to focus on those aspects of your research and training that are of greatest importance to you at the present time. Your report can be as brief as is appropriate and the following are points you may wish to consider:

- Review and comment on your academic progress during the current reporting period
- Measure your progress against the timetable and requirements of your programme of study
- Identify skills developed and training undertaken or required (via the TNA form)
- List your engagement with the academic community
- Raise concerns or issues regarding your academic progress to your supervisor
- Outline your plans for the next term (where applicable).

7.1.1 Flagging concerns

If you have any concerns relating to your academic progress these should be flagged in your termly GSR report. These concerns can range from minor concerns to severe concerns:

- **Minor concerns** Satisfactory progress is being made, but minor issues have been identified where further action may be required to keep progress on track
- **Major concerns** One or more factors are significantly affecting your progress, and further action is not required to keep progress on track
- **Severe concerns** Progress is being seriously affected by one or more factors, and a meeting with the Director of Graduate Studies should be held as soon as possible to discuss further action to get progress back on track.

Please note student concerns should relate directly to academic progress. If you are dissatisfied with any aspects of provision, eg. your supervisory relationship or your working environment you should raise these with the Director of Graduate Studies or the Graduate Studies Administrator in the first instance.

Your supervisor should discuss any concerns about your academic progress with you before flagging a concern in GSR

Submitting a report is mandatory for all MPLS students and if you do not submit a report either for two subsequent terms, or for two terms out of three (on a rolling basis) this will trigger your being invited to a meeting with the Director of Graduate Studies to discuss your progress.

In the term before you expect to transfer status you are expected to complete a “Preparing for Transfer of Status” form on GSR as your termly reflective progress report. Similarly the term before you expect to confirm status you are expected to complete a “Preparing for Confirmation of Status” form again on GSR. The questions on the forms are designed to help you reflect on the criteria your assessors will be considering for your transfer and confirmation examination. Both the “Preparing for Transfer of Status” and the “Preparing for Confirmation of Status” forms can be found for your reference via the following link (<https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/transfer-and-confirmation-status>).

Further guidance on GSR reporting can be found in the MPLS Graduate School webpages:

<https://www.mpls.ox.ac.uk/graduate-school/information-for-postgraduate-research-students/supervision>

7.2 Transfer of Status

(Centre for Doctoral Training (CDT) students should refer to the individual CDT course handbook)

7.2.1 Preparing for the application to transfer from PRS to DPhil or MSc by Research status

If you have little or no previous experience of research then you must prepare to make what is called a Category A application. This means that in consultation with your supervisor you must write a dissertation, preferably 25-50 printed pages of TEX, with a font no smaller than 11pt, which is specifically for the purpose of supporting the application. The dissertation

need not be bound but it should be securely fastened. It should also be printed on A4 sheets with ample margins.

A dissertation may consist of a short piece of original mathematics, or work that could be included or developed to be part of a doctoral thesis, or a critical review of some part of your subject area. It need not contain original mathematics but it must offer something which is not readily available in the existing literature. Simply interlacing section of existing texts and papers is not enough.

If you have already had experience of mathematical research (for example if you have studied for a Masters degree) and think you already satisfy these criteria, the first thing to be done is to decide whether or not you should make what is called in the regulations a Category B application.

For category B applications the written work may consist of:

1. A thesis or dissertation produced in connection with another course of research or study; or
2. Work that has been accepted for publication in a learned journal; or
3. Other work which is in the opinion of your supervisor of comparable standing.

If at the start of your study you consider that you have work such as this and have also carried out sufficient course work and study to prepare yourself for research for the DPhil then your supervisor should be consulted immediately. If, in the light of your supervisors opinion you then decide to make a Category B application, you should proceed to do so in the manner described in the next sections.

For both Category A and Category B applications an oral presentation on your work will be part of the assessment. You will probably require some practice and training for this. The presentation may either take the form of a seminar, (which could be a junior seminar) or it may be part of the transfer interview.

Below is a useful checklist for you to use to support you through the preparations for your transfer of status assessment. It maps directly to the assessment forms that your assessors will be using so the criteria are transparent.

- That you have a well-defined research project, with clear goals. You should have presented a statement of the subject of your thesis and the appropriate written work as defined by your department.
- That you are well-suited and able to undertake advanced research.
- That you have good general background knowledge of the field related to your work.
- That you show evidence that the project is likely to yield sufficient results in the time available, e.g. through a plan of work with key milestones.
- That you are likely to submit within your funded period/within 12 terms (for DPhil) or 9 terms (for MSc(R)).

- That you are able to work independently as appropriate.
- That your work to date is of a good standard and quality.
- That you are able to express ideas clearly, in English, both in writing and orally.
- That there is the potential for your work to make a significant and substantial contribution to your field of study.
- That your ideas and plans for future work are clear and realistic.
- That you can defend your completed and future work.
- That you have engaged well with both academic training and professional development/career skills activities. You should also be able to show what further activities you expect to engage with.
- You should have a statement of support from your supervisor and college.
- You should have a critical understanding of relevant literature.

In addition to the above the assessors will also examine:

1. your Skills Training
(see <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training>).
2. You must also complete your user profile on the Maths website, as explained on <https://www.maths.ox.ac.uk/people>, with (as a minimum) a short description in non-technical language of your research project.

7.2.2 Timing the application

If you choose to make a Category B application, this should be done in your first term.

Transfer of status under Category A should normally be completed by the end of your fourth term. You must ensure that you allow sufficient time between submitting your application for transfer of status and your transfer viva/presentation. As such you must submit your application for transfer of status (GSO.2 and MATHS.1) and your transfer thesis early in your fourth term. In order for your transfer of status to be considered complete by the end of your fourth term you must have applied for transfer of status, submitted the transfer thesis and undergone a transfer viva/ presentation by Friday of 0th week of your fifth term (see key dates 4). If you are unable to transfer status by the end of your fourth term you must formally apply for a deferral by completing and submitting form GSO.2b to the Graduate Studies Office.

In the term before you expect to transfer status you are expected to complete a “Preparing for Transfer of Status” form in GSR as your terms report. The questions on the form are designed to help you reflect on the criteria your assessors will be considering for your

transfer examination. The “Preparing for Transfer of Status” form can be found for your reference on the MPLS Graduate School website (<http://www.mpls.ox.ac.uk/study/currentpostgraduates/information-for-postgraduate-research-students/supervision>).

Instead of making a Category A application for transfer to DPhil status, you may instead apply for transfer to MSc by Research student status (GSO.2 and MATHS.2). The procedure is similar except that no written work is needed.

7.2.3 Making the application for transfer to DPhil Status

To make an application the following must be submitted:

1. An application for transfer from Probationer Research Student to DPhil status (form GSO.2(MPLS));
2. A departmental application form (MATHS.1);
3. A description of the work undertaken in preparation for research, giving details of complementary skills training and workshops and conferences attended (this must accompany form MATHS.1);
4. Two copies of a dissertation of between 25-50 pages of TEX in a font no less than 11pt.

Forms GSO.2(MPLS) and MATHS.1 are available from <http://www.ox.ac.uk/students/academic/guidance/graduate/progression/>.

These two forms should be completed by yourself and your supervisor, and form GSO.2 should also be signed on behalf of your college (usually by the Senior Tutor). Normally the assessors will be permanent members of the department, and the Director of Graduate Studies should be consulted if anyone else is being proposed. Both forms should then be forwarded to the departmental Graduate Studies Administrator (S0.16) . The MATHS.1 form has to be signed by the Director of Graduate Studies, but this can be arranged by the Departmental Graduate Studies Administrator after submission of the forms. The written work must be sent directly to the assessors. This must be done by the date you have indicated on the MATHS.1 form. When the dissertation is sent directly to the assessors it is essential that the Departmental Graduate Studies Administrator is informed that this has been done. Otherwise the office will be unable to send the assessors the correct forms and information.

7.2.4 After the application has been made

After submission of your written work you should expect your assessor to approach you to fix a time for your interview. If they do not approach you, please arrange for your supervisor to contact them directly.

Although the transfer is a formal examination, the interview will be conducted informally. There will be an opportunity for you to discuss your research plans, but the major portion of the time will indubitably be taken up by the assessors orally examining you on the work submitted.

The form of this interview will depend considerably on circumstances and your supervisor may be able to help by providing you with some general indication of what to expect. In all cases, however, you can be assured that unlike undergraduate examinations you will not be expected to commit every detail to memory. The length of the interview will vary, but it is unlikely to last between 1-2 hours.

Having completed the interview the assessors will prepare a report. An assessment of the oral presentation will form part of the assessors overall recommendation. It is the responsibility of the Director of Graduate Studies to decide in the light of this report either to approve the application or to allow you to transfer to MSc by Research status, or to permit you to remain only as a Probationer Research Student for one further attempt to transfer status. If you fail to secure a Category B transfer to DPhil status you will be allowed to apply subsequently to transfer under Category A: one further application in Category A is allowed, provided that you made your first attempt well before the sixth term of the probationer period. If your application to transfer to DPhil status is rejected you will also be allowed to apply for transfer to the status of MSc by Research.

The MSc should not be seen as an inferior version of the DPhil. It is less advanced in the sense that the course of research is generally of shorter duration and also in the sense that it is a course where diligent scholarship is more likely to ensure a favourable outcome. However, it is a degree with value of its own requiring a different pattern of discipline and training. For some careers, it is considered to provide a better preparation than the DPhil.

7.2.5 Checklist for students

The full “transfer of status- checklist for students” can be found via the following link: <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/transfer-and-confirmation-status> a summary can be found below.

The checklist below should be used to support you in your preparations for your transfer of status assessment.

- Arrange meeting(s) with supervisor(s) to discuss transfer requirements
- Complete at least 2-3 broadening courses
- Complete the online Research Integrity Training
- Have taught at least one set of intercollegiate classes (for students who started from October 2018)
- Define/agree proposed research project
- Check department deadlines and requirements for transfer with the departmental Graduate Studies Administrator.

- Draft/prepare transfer work following department requirements, which should include a research proposal and timeline
- Submit transfer work to supervisor(s) for review
- Refine/complete transfer work following supervisors feedback
- Complete any relevant forms and submit to the departmental Graduate Studies Administrator
- Obtain statement of support from Supervisor
- Obtain statement of support from College
- Submit transfer work to the assessors for assessment by required deadline
- Transfer assessors appointed by Department
- Transfer assessment date arranged by assessors/supervisor
- Following assessment written feedback received
- Official confirmation of recommendation from the MPLS Graduate Office received

Other key points:

- Research Ethics Approval has been applied for (if relevant)
- Keep a log/record of any permission for inclusion of 3rd party copyright material. http://www.bodleian.ox.ac.uk/ora/oxford_theses/copyright_and_other_legal_issues
- Keep a log/record of any subject-specific (e.g. research methodology; data analysis and management; record keeping; bibliographical skills; presentation of research) and personal and professional skills (e.g. time management, language skills, IT skills, team work, problem solving, presentation skills, teaching skills, career planning) which you have already acquired during the course of your time as a Probationary Research Student
- Identify any skills which might require further development or refinement
- Keep a record of any other related activities,(e.g. presentation of posters, attendance at conferences, courses attended, publications, opportunities to undertake teaching, etc.), which have made a contribution to the development of your work

7.2.6 Transfer to MSc by Research

This is similar to the process for transfer to the DPhil, but no written work is required.

7.2.7 Transfer from MSc by Research to the status of DPhil Student

This is similar to the process for transfer from Probationer Research Student to DPhil student, except that the time limit is nine terms from admission as Probationer Research Student. A student whose application is rejected may re-apply just one more time.

7.3 Confirmation of DPhil Status

(Centre for Doctoral Training (CDT) students should refer to the individual CDT handbooks)

Confirmation of DPhil status should normally happen in your third year. In any case confirmation of status for DPhil students must take place no later than the end of your ninth term after admission. In order for your confirmation of status to be considered complete by the end of your ninth term you must have applied for confirmation of status, submitted the confirmation work and undergone a confirmation viva/ presentation by Friday of 0th week of your 10th term (see key dates 4).

You must have successfully confirmed status before submitting your DPhil thesis. Your application for confirmation (GSO.14 and MATHS.3) should be sent to the Graduate Studies Administrator at the Mathematical Institute. Two assessors will be appointed to interview you. Your confirmation work should be submitted directly to your assessors. Your confirmation work should normally contain:

- the list of chapters
- an outline of the content of the chapters, highlighting research achievements to date
- a detailed presentation of some results, eg. a completed chapter
- a timetable for submission

Forms GSO.14(MPLS) and MATHS.3 are available from
<http://www.ox.ac.uk/students/academic/guidance/graduate/progression/>.

You must also hand in a list of seminars, workshops and colloquia attended, to make a total of at least 20 hours over your career. The assessors will also examine your Skills Training (see <https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/skills-training>). The assessors will need to examine your broadening programme to ensure that the required 100 hours have been completed. If you are still taking one or two courses in your third year you may apply for confirmation of status, but this will not be granted until the said courses are satisfactorily completed.

The purpose of confirmation of status is to enable research students to receive an assessment of their work by two assessors, other than your supervisor(s). It is intended to provide an indication that if work on the thesis continues to develop satisfactorily, then consideration of submission of the thesis within your funded period/four years (for DPhil) would appear to be reasonable. It therefore provides a second stage of formal progress review in the four

years of your overall research programme. It should be noted that successful completion of confirmation of status provides an indicator only for readiness for submission, not for the final outcome of the examination of the thesis.

The confirmation assessment is different to the transfer assessment. The assessors will be focusing on how the research is progressing, the quality of the work completed, whether it is at the right level, and on the plan for completion. The assessors will therefore be looking to ensure that you are making the appropriate amount of progress in the development of your thesis, so that submission will be achieved within your funded period/four years (for DPhil). Primarily, they will be looking to see that your work/research does/will make a 'significant and substantial contribution to your field of study. The assessment can also be used as a good opportunity to prepare for the *vive voce* examination of the thesis.

Below is a useful check-list for you to use to support you through the preparations for your confirmation of status assessment. It maps directly to the assessment forms that your assessors will be using so the criteria are transparent.

- That your work/research makes or will make on completion and submission, a significant and substantial contribution to your field of study. You should have presented a statement of the subject of your thesis and the appropriate written work as defined by your department.
- That you have to date undertaken advanced research.
- That you have sufficient background and in depth knowledge of the field related to your work.
- That you show evidence that the project has yielded sufficient results to date and within the time remaining, e.g. through a plan of work, which includes a timetable for writing up.
- That you are likely to submit a satisfactory thesis within your funded period/within 12 terms (for DPhil)
- That you are working as an independent researcher as appropriate.
- That your work to date is of a good standard and quality.
- That you are able to express ideas clearly, in English, both in writing and orally.
- That your ideas and plans for completing your research/thesis are clear and realistic.
- That you can defend your completed and future work.
- That you have engaged well with both academic training and professional development/career skills activities. You should also be able to show what further activities you expect to engage with, and that you have considered your career post DPhil
- You should have a critical understanding of the relevant literature.

7.3.1 Checklist for students

The full “confirmation of status checklist for students” can be found via the following link:

<https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/transfer-and-confirmation-status> a summary can be found below.

- Arrange meeting(s) with supervisor(s) to discuss confirmation requirements
- Check department deadlines and requirements for confirmation with the Graduate Studies Administrator.
- Have completed all 5 broadening courses
- Have taught at least 2 sets of intercollegiate classes (for students starting from October 2018)
- Draft/prepare confirmation work following department requirements, which should include a brief written report about your research achievements to date and timetable for submission.
- Submit confirmation work to supervisor(s) for review
- Refine/complete confirmation work following supervisors feedback
- Complete any relevant forms (including GSO.14 form and MATHS.3 form) and submit to the Graduate Studies Administrator
- Submit confirmation work to the assessors for assessment by required deadline
- Confirmation assessors appointed by Department/DGS
- Confirmation assessment date arranged by assessors/supervisor
- Following assessment official confirmation of recommendation from the MPLS Graduate Office received, with a copy of the assessors report

Other key points:

- Research Ethics Approval has been applied for (if relevant)
- Keep a log/record of any permission for inclusion of 3rd party copyright material. (<http://www.bodleian.ox.ac.uk/ora/oxford.etheses>)
- Keep a log/record of any subject-specific (e.g. research methodology; data analysis and management; record keeping; bibliographical skills; presentation of research) and personal and professional skills (e.g. time management, language skills, IT skills, team work, problem solving, presentation skills, teaching skills, career planning) which you have already acquired Identify any skills which might require further development or refinement

- Keep a record of any other related activities,(e.g. presentation of posters, attendance at conferences, courses attended, publications, opportunities to undertake teaching, etc.), which have made a contribution to the development of your work

If you are not successful you may have one more attempt to confirm DPhil status. If after considering and application for confirmation of status, it is concluded that your progress does not warrant this, your status for the degree of Master of Science by Research may be approved.

A few students transfer from Probationer Research status to MSc status and then transfer to DPhil status at the end of their third year of study. Such students should apply for confirmation of DPhil status no later than the end of their eleventh term. If unsuccessful at first attempt, a second try may take place no later than the end of the twelfth term.

7.4 Submission and Examination

When you and your supervisor are agreed that your thesis is within one term (and the vacation which follows) of completion, you should obtain forms GSO.3 from the GSO website at <http://www.ox.ac.uk/students/academic/guidance/graduate/progression/> and arrange for its completion. The form has sections which should be completed by your supervisor, and by your College. Your supervisor must suggest the names of examiners on this form, after consulting you: one internal and one external - plus a reserve for each. When the form has been handed in to the Graduate Studies Administrator, room SO.16, it must be approved by the Director of Graduate Studies and two examiners will be formally appointed on the recommendation of the supervisor. An electronic copy of the thesis should be submitted *no more* than a term (and the vacation which follows) after this has happened.

Once the thesis has been submitted, the examiners will arrange a date for the *viva voce* (i.e. oral) examination. This is formal, so you must wear *subfusc*. After the examination the examiners will submit their report and recommendation to the Mathematical, Physical and Life Sciences Divisional Board. In many cases this decision is delegated to appropriate office holders under the aegis of the Board. It is because they can do no more than make a recommendation to the Board that the examiners are unable to comment to you on the outcome of the *viva*.

For more detailed information on the regulations (in particular, for information on standards of typesetting and binding) consult the *University of Oxford Examination Regulations*. In particular you should note that there is a length limit of 200 pages, although the expectation is that it should be nearer 100 pages. This should be taken as applying both for the DPhil and for the MSc by Research. You should refer to Section 1 for how to access these materials.

After you have been given leave to supplicate for your degree, you are required to deposit a copy of your thesis with the Bodleian Library.

7.5 Proof-reading

It is your responsibility to ensure your thesis has been adequately proof-read before it is submitted. Your supervisor may alert you if they feel further proof-reading is needed, but

it is not their job to do the proof reading for you. You should proof-read your own work, as this is an essential skill in the academic writing process. However, for longer pieces of work it is considered acceptable for students to seek the help of a third-party proof-reading. Such third parties can be professional proof-readers, fellow students, friends or family members (students should bear in mind the terms of agreements with an outside body or sponsor governing supply of confidential material or disclosure of research results described in the thesis). Proof-reading assistance may also be provided as a reasonable adjustment for disability. **Your thesis may be rejected by the examiners if it has not been adequately proof-read.**

7.5.1 Wording permission for 3rd party material

If your thesis is to contain any material where copyright is held by a third party, you should consult the information at

http://www.bodleian.ox.ac.uk/ora/oxford_theses

8 Study Requirements

The following information refers to the study requirements and expectations set by the University. Students who are funded by a Research Council, i.e. EPSRC in addition are also expected to meet the requirements set by the RCUK. Information on RCUK requirements can be found in the *Statement of Expectation* (<https://www.ukri.org/>).

8.1 Residency requirements

Graduate students on a full time course must usually reside within 25 miles of the city centre. Work and residence towards a degree is calculated from the term of matriculation. There is minimum residence period before a degree can be taken. In the case of the MSc by Research in Mathematics the minimum residency period is three terms and in the case of the DPhil. in Mathematics the minimum residency period is six terms.

DPhil students may apply formally for a dispensation from these requirement for not more than three terms of residence if it is necessary to your work that you should be allowed to pursue your course of study at some place other than Oxford. It is also possible to obtain dispensation if your supervisor moves to another University in the middle of your course, and a suitable replacement cannot be found in Oxford. Dispensation from residence requirements must be applied for using the form GSO.8

(<http://www.ox.ac.uk/students/academic/guidance/graduate/progression/>)

8.2 Suspensions, Extensions, Lapse of Status and Reinstatement

8.2.1 Suspensions

If for a temporary period, you are unable to pursue your course of study or research, you may apply for suspension of your student status. Relevant circumstances could include illness, accident, domestic crisis or unforeseeable financial difficulty. Alternatively, it might be essential for you to concentrate temporarily on some other project which could not reasonably be deferred until after your postgraduate work was completed; or you might wish to take up temporary work which was likely to be important to your future career, and the opportunity for which is unlikely to recur.

Applications must be made to the Graduate Office using the form GSO.17

(<http://www.ox.ac.uk/students/academic/guidance/graduate/progression/>). You will need to specify the exact term(s) you require suspension for, and must have the support of your supervisor and college. Students are allowed to apply for a maximum of six terms suspension in total. However, you may only apply for a maximum of three terms at any one time.

Students wishing to apply for a suspension of status for Maternity, Paternity or Adoption Leave will need to complete the GSO.17b. Please refer to the University's Student Maternity, Paternity and Adoption leave Policy for further information and guidance, <https://www.ox.ac.uk/students/welfare/childcare?wssl=1>

If you are intending to return from your suspension of status you will need to ensure that

you complete the Returning from Suspension of Status form, GSO.17a, prior to your return. Failure to return the completed form will delay the reactivation of your University Card. Completed form should be returned to the Graduate Studies Administrator.

8.3 Extensions

Students working for the DPhil are expected to submit their thesis within three to four years of full-time study. If you are prevented by “exceptional circumstances“ from completing the research within the maximum period normally allowed by the University (9 terms for the MSc by Research, 12 terms for the DPhil), you may apply for an extension of time. The maximum total periods of extension are up to six terms for DPhil and MSc by Research students. Students are allowed to apply for a maximum of three terms at any one time. **However, it is departmental policy to approve an extension of one term only at a time, so that your progress can be kept under close review.**

If you need an extension of time, you must apply formally to the Graduate Office using the form GSO.15. You must give full reasons for your request, and these must also be supported by your supervisor and college. The Director of Graduate Studies will wish to know the present state of your thesis, i.e. how much has been completed and how much remains to be done, and see to a new timetable for completion, including when you expect to apply for confirmation of status (if this is yet to be done), and the expected submission date for your thesis. Your application must be submitted before your status lapses. An extension will only be granted if the Director of Graduate Studies is satisfied that you are working actively on your thesis. If this is not the case your status will be allowed to lapse and it will be necessary for you to apply for subsequent reinstatement if you wish to resume work or submit your thesis.

8.4 Lapse of Status and Reinstatement

Your status as an enrolled research student will lapse if:

- you fail to submit your thesis within the allotted time, and without being granted suspension or extension of time.
- you fail to transfer status successfully, within four terms of admission as a full-time student (unless you have been granted a deferral, or one terms extension following an unsuccessful transfer application).
- The Mathematical Institute deprives you of such status, after consultation with your college/hall supervisor
- *for DPhil students only:* If you fail to confirm status successfully within nine terms of admission as a full-time student (unless you have been granted one term's extension following an unsuccessful confirmation application or you have been granted a deferral).

- following your examination you are required to complete major corrections to your thesis, and fail to complete these within the six months permitted.

Once your status has lapsed, you are no longer registered as a student of the University, and you will not have access to University facilities during the period.

8.4.1 Reinstating your status

To reinstate your status on the graduate register you will need to apply for reinstatement. Application must be made on form GSO.23 and submitted to the Graduate Studies Administrator, and must have the support of your supervisor and college. If your supervisor is no longer available, the Mathematical Institute will need to appoint an assessor to check on the appropriateness of reinstatement. If the assessment is satisfactory then a new supervisor will need to be found for the purposes of submission. If no one is willing or available the task normally falls to the Director of Graduate Studies. Reinstatement should not be regarded as automatic; each case is dealt with on its merits.

If your status lapsed at the time of your thesis submission deadline, reinstatement is usually allowed if you have completed your thesis and you are ready to submit to have it examined. If your reinstatement is approved you will be given one term in which to submit. If your status lapsed due to not having successfully completed your transfer of status or confirmation of status by the allotted time, you will need to ensure that you are ready to go through the transfer of status or confirmation of status assessment in the term in which you are reinstated, if reinstatement is approved.

If you lapse/withdraw before the end of your fee liability, on reinstatement you will become liable for any outstanding fees up to the required maximum of nine terms for the DPhil or six terms for the MSc by Research.

8.4.2 Reinstatement cases requiring Education Committee Approval:

For DPhil students, if you have had twelve terms plus six terms extension, and for MSc by Research students, if you have had nine terms plus six terms extension, then the application for reinstatement will have to be approved by the University's Education Committee. If you are requesting reinstatement after a year of your status lapsing, your application will also have to be approved by the University's Education Committee. The Mathematical Institute and Education Committee will want to make sure that your research is relevant and up to date, and this should be clearly stated in your application.

9 University's Policy on Plagiarism

The University provides clear guidance on plagiarism. It is important that all research students familiarise themselves with the University's policy on plagiarism (<http://www.ox.ac.uk/students/academic/>). The *The Policy on Plagiarism* provides students with information on what plagiarism is, why plagiarism matters, why to avoid plagiarism and what to avoid. The policy also includes details on what happens if a student is suspected of plagiarism and matters relating to unintentional plagiarism.

10 Guidance for the deposit of successful theses

Guidance on the process involved with depositing a DPhil or MSc by Research thesis can be found via the following link:

<http://www.ox.ac.uk/students/academic/exams/research>

The guidance provides clear instructions on matters such as appointing examiners, presentation of thesis abstracts, style and format, binding and presentation, date of submission of examiners copies, oral examination or viva, minor corrections, major corrections, extensions, re-submitting a thesis and deposit and consultation of thesis.

Further important and helpful information can be found in the Examination Regulations <http://www.admin.ox.ac.uk/examregs/information/contents/>

Copyright Information 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.

- **ORA Help and Information**

<http://www.bodleian.ox.ac.uk/ora>

- **ORAHelpdesk** ora@bodleian.ox.ac.uk

11 Oxford Digital Theses

D.Phil., M.Litt., and M.Sc.(by Research)

The University of Oxford is committed to the widest dissemination of research theses produced by its graduate students. Students following D.Phil., M.Litt., and M.Sc.(by Research) programmes and registered¹ from 1st October 2007, are required to deposit a hardbound and a digital copy of their thesis with the Oxford University Libraries. The digital copy should be deposited in the Oxford University Research Archive (ORA) at <http://ora.ox.ac.uk>. ORA provides maximum visibility and digital preservation for Oxford digital theses. Students should read important information about the deposit of and access to digital theses which is available at <http://www.bodleian.ox.ac.uk/ora> 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 or part(s) of your thesis

¹The date of enrolment on which the student commenced this programme. If progressing from a master's to a doctoral programme it is the date the student started the new doctorate research programme

12 Graduate Activities

This section lists the main types of activities that every graduate research student should strive to engage in throughout the duration of their studies.

12.1 The Lecture List

The Mathematical Institute publishes a lecture list for Mathematical Sciences just before the beginning of each term, as do all other Departments of the University. The Mathematics list can be found on the web at <http://www/members/students/lecture-lists>.

Lecture lists for other Departments in the MPLS Division can be found at <http://www.mpls.ox.ac.uk/training/course-programme-for-graduate-students>. All members of the University may attend any publicly announced University lectures or seminars.

12.2 Seminars

Research seminars run weekly within the Mathematical Institute. They are listed on the lecture list as well as the electronic timetable in the foyer of the Andrew Wiles Building. Seminars which are appropriate to your interests should be identified by discussion with your supervisor.

13 Conference Funding and Travelling Expenses

(All CDT students should refer to their own course handbook for information on conference funding and travel expenses)

Research students are entitled to 2000 towards travel to conferences during their 3.5 years of study. To offer more flexibility than in previous years, students will be able to use this funding as and when this is required, and there will no longer be a cap on annual funding. In addition to this, up to 250 in total per student is available from the Skills Training fund, for example if the student is making a presentation of their work. Applications should always be made in advance of any travel and will need the support of the students supervisor. Forms for this purpose can be found here. If an application is not made in advance reimbursement cannot be guaranteed as funds may be exhausted. In exceptional circumstances a case for retrospective reimbursement may be made. Original itemised receipts need to be submitted with the claim form for any reimbursement that is being claimed. It is possible to make multiple claims for one trip, i.e. claim for flights prior to travel (as long as a receipt/booking confirmation is available). All remaining claims can be made after travel as soon as receipts are available. The University Financial Regulations and the Expenses and Benefits Guide can be found at <http://www.admin.ox.ac.uk/finance/policies/financialregulations/> and <http://www.admin.ox.ac.uk/finance/epp/expenses/guide/> .

In addition to travel and conference costs, students may also apply for the reimbursement of reasonable costs arising from their transferable skills training programmes.

13.1 Travel Insurance

The Universitys travel insurance should always be used when making trips within the UK or abroad. Medical cover is not available for trips within the UK but all other sections of the insurance are provided. If the Universitys travel insurance is not used, any personal insurance will only be reimbursed if the insurance was for a single trip and there was a good reason as to why the Universitys insurance was not used. Please see link <https://www.admin.ox.ac.uk/finance/insurance/travel/> for information on the Universitys travel insurance.

14 IT Facilities in the Mathematical Institute

14.1 Applying for Computer Resources

For an account on the Mathematical Institute network, you should complete the application form included in your induction pack, and return it to Sandy Patel, who will provide your login details. Nobody may use the resources of the Mathematical Institute without signing an application form, nor continue to do so once their account has expired.

If you experience difficulties in using any of the machines or networks, please send electronic mail to help@maths.ox.ac.uk.

The academic network is primarily Linux based with almost 3000 installed packages per machine. Almost all student offices are equipped with one machine per person. If you would like the number of machines in an office increased, contact help@maths.ox.ac.uk to discuss it. A list of all public machines and their specifications are available on the IT help web pages at <https://www.maths.ox.ac.uk/members/it/support>.

The department has a Windows Terminal Server (wts) that can be remotely accessed from the Linux machines should you need access to Microsoft only applications, e.g. MS Office. As well as the UNIX machines there are a number of Microsoft Windows XP workstations in the public computer rooms.

For details of how and where to obtain IT help relating to the departmental systems see the information at <https://www.maths.ox.ac.uk/members/it/support>. In particular the department operates an e-mail IT help request system (help@maths.ox.ac.uk) which is the recommended approach for IT queries as it keeps a record of the query.

Note that there are also signs above the printers and outside the computing officer rooms with details of how best to report problems and how to get IT help should you need it.

14.2 Using Your Own Computer

Information about how to connect your laptop can be found at <https://www.maths.ox.ac.uk/members/it/support>.

14.3 Computer Provision

It is the policy of the MPLS Division that all departments will ensure that PGR students have access to adequate personal computing resources to enable them to work effectively on their projects. The computing resources enable them to work effectively on their projects. The Computing facilities provided will necessarily vary from department to department and group to group, dictated by specific needs for that group and the tools required.

You should discuss what computing facilities are available to you with your supervisor(s). If you are unhappy with your computing provision you should let your supervisor(s) know, and if this issue is not resolved satisfactorily you should raise the issue with the Director of Graduate Studies.

15 Libraries

Whitehead Library, Mathematical Institute

Contact: Ms Cathy Hunt (Librarian)

Email: library@maths.ox.ac.uk

Website: <http://www.maths.ox.ac.uk/members/library>

The Whitehead Library holds material covering mathematical topics at postgraduate and research level.

It is primarily for the use of current postgraduate students and academic staff of the Mathematical Institute.

Your University Card will have been activated to open the library door and will give you 24/7 access.

Books taken out of the Library must be checked-out on the SOLO computer loan system at the terminal in the library. Please note that books are not allowed to be taken away from Oxford.

Radcliffe Science Library (RSL)

Website: <http://www.bodleian.ox.ac.uk/science/>

The Radcliffe Science Library is the science library of the Bodleian and includes mathematics books at graduate and research level.

College Libraries

You will have access to the library in your own College.

Information about all Oxford libraries can be found at: <http://www.bodleian.ox.ac.uk/subjects-and-libraries/libraries>

16 Joint Consultative Committee with Graduates

Graduate students views are fed into the departmental structure via the Consultative Committee with Graduates. The committee's operation is described in the following standing order:

“There shall be a Consultative Committee with Graduates members reading for higher degrees, and the Directors' of Graduate Studies. There should be at least three junior representative from the DPhil in Mathematics and one junior representative from each taught MSc course and CDT offered by the department.

Committee members shall be elected from amongst graduate students admitted by the Mathematical Institute. Nominations and self-nominations shall be invited by circulating

these graduate students electronically in Week 0 of Michaelmas Term. If necessary elections shall be held electronically during the first week of Michaelmas Term, with three days being given for voting. The one student with the most votes from each MSc and CDT and the three research students (DPhil) with the most votes, and the five remaining students (either MSc or DPhil) with the most votes will be elected. The Committee shall have the power to co-opt junior members such that membership is complete. The committee may operate, if necessary, without its full complement of places having been filled.

The committee shall be concerned with matters such as the syllabus, teaching arrangements, library facilities, office facilities, and the general aspects of examinations. It shall annually review examiners reports for the taught MSc's. Where items on the agenda are not relevant to or appropriate for taught masters' students items will be discussed on a separate agenda focusing on research degree matters. The Director of Graduate Studies(R) shall be the chairman of the committee. The Graduate Studies Administrator or another member of Mathematical Institute staff shall act as secretary to the committee. The Consultative Committee with Graduates reports to the Graduate Studies Committee.

The Committee shall be able as of right to address a communication direct to the Graduate Studies Committee, Departmental Committee, the Research Committee, or the Teaching Committee, of the Mathematical Institute depending on the matters involved. Unless the chairman shall order otherwise, the committee shall meet at 2pm on Tuesday in the fourth week of each Full Term."

Information can be found at

<https://www.maths.ox.ac.uk/members/students/postgraduate-courses/doctor-philosophy/consultative-committee-graduates>.

Information on the student barometer can be found via the following link:

<https://www.ox.ac.uk/students/life/student-engagement?wssl=1>

17 Hardship Funding

The University and its colleges have limited funds available to students who experience unexpected financial difficulties after starting their course. It is expected that all students will secure the necessary funds to cover their fees and living costs.

Hardship funds are not intended for students who just run out of money before finishing their degree; they are there to provide help in unexpected situations. If you are in need of hardship funding, you should look at the following:

- Access to Learning Fund (ALF)
- University Hardship Fund
- Vice Chancellors' Fund
- College funds
- Hardship funding from external sources

Information about these can be found at
<http://www.ox.ac.uk/students/fees-funding/assistance/hardship>.

17.0.1 Esson Bequest Fund

There is a fund available to help research students in Mathematical Sciences facing unexpected financial hardship, consisting of the income from the bequest to the University of William Esson (Savilian Professor of Geometry from 1897 to 1916). Applications may be sent at any time to the Departmental Administrator of the Mathematical Institute, Andrew Wiles Building, Radcliffe Observatory Quater, Woodstock Road, OX2 6GG, Oxford.

18 University Gazette and Oxford Blueprint

The Gazette is published weekly in term time, and is the official publication for University business, regulation changes, meetings etc. It is available in all the University and College Libraries and in the Common Room. Oxford Blueprint, a newsletter for University and college staff and students, is published in 0th, 3rd, 6th and 9th weeks of term. It contains news, interviews and features reflecting the diversity of activity across the University, and an events diary is included.

18.1 University Club

The University Club provides a social and recreational venue intended to serve the University's academics, postdocs, staff, postgraduates, alumni and those who have retired from academic or staff positions. To apply to become a member of the University Club, please visit the Club's website: <http://www.club.ox.ac.uk> and fill in the online membership application form (accessible via the 'Membership' link). Applications may take two weeks to process. Once processed your University card will admit you to the club.

19 Heads of Subject Groups in Mathematics 2019-2020

Algebra: Prof. M. Bridson

Combinatorics: Professor A Scott

Data Science: Jared Tanner

Geometry: tbc

Logic: tbc

Mathematical Biology: Professor P K Maini

Mathematical and Computational Finance: Prof. Rama Cont

Mathematical Physics: Professor P Candelas

Number Theory: tbc

Numerical Analysis: Professor N Trefethen

Oxford Centre for Industrial and Applied Mathematics: Prof S J Chapman

Stochastic Analysis: Professor T Lyons

Topology: Professor U Tillmann

20 Department and University Policy Statements

20.1 Complaints and academic appeals within the Mathematical Institute

The University, the MPLS Division and the Mathematical Institute all hope that provision made for students at all stages of their course of study will make the need for complaints (about that provision) or appeals (against the outcomes of any form of assessment) infrequent.

Nothing in the University's complaints procedure precludes an informal discussion with the person immediately responsible for the issue that you wish to complain about (and who may not be one of the individuals identified below). This is often the simplest way to achieve a satisfactory resolution.

Many sources of advice are available within colleges, within faculties/departments and from bodies like Student Advice Service provided by OUSU or the Counselling Service, which have extensive experience in advising students. You may wish to take advice from one of these sources before pursuing your complaint.

General areas of concern about provision affecting students as a whole should be raised through Joint Consultative Committees or via student representation on the faculty/departments committees.

Complaints

If your concern or complaint relates to teaching or other provision made by the faculty/department, then you should raise it with the Director of Graduate Studies (Prof. Raphael Hauser (raphael.hauser@maths.ox.ac.uk)) and/or Prof. James Sparks (james.sparks@maths.ox.ac.uk) as appropriate. Within the faculty/department the officer concerned will attempt to resolve your concern/complaint informally.

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

If your concern or complaint relates to teaching or other provision made by your college, 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

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

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 satisfactorily settled by that means, then you, your supervisor, or your college may put your appeal directly to the Proctors.

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

Please remember in connection with all the academic appeals that:

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

20.2 University Policy on Intellectual Property

The University of Oxford has in place arrangements governing the ownership and exploitation of intellectual property generated by students and researchers in the course of, or incidental to, their studies. These arrangements are set out in the University's Statutes 2013 under which the University claims ownership of certain forms of intellectual property which students may create. The main provisions in the Statutes can be found in the Regulations for the Administration of the University's Intellectual Property Policy (<http://www.admin.ox.ac.uk/statutes/regulations/182-052.shtml>)

20.3 Regulations Relating to the Use of Information Technology Facilities and University Policy on Data Protection and Computer Misuse

Students must familiarise themselves with regulations relating to the use of information technology, data protection and computer misuse. Regulations and policies relating to the use of IT facilities can be found via the following links:

<http://www.it.ox.ac.uk/policies-and-guidelines>

<http://www.admin.ox.ac.uk/councilsec/compliance/dataprotection>

20.4 Safety Information

These notes give some information about the safety arrangements at the Mathematical Institute. For further information, please see <https://www.maths.ox.ac.uk/members/health-safety/induction>.

20.5 Action in Case of Emergency

To summon the FIRE BRIGADE, AMBULANCE SERVICE and/or POLICE, DIAL 9-999. Note that 9-999 can be dialled from any internal University telephone extension, even if it is otherwise barred from making outside calls.

For **SERIOUS ACCIDENTS** or **FIRES** on University premises, immediately after arranging for the emergency services, telephone again the *Security Services* (89999).

Remember that unless there is a continuing risk to others or to property, the law requires that in cases of serious accidents or fires the scene must remain undisturbed until it is examined by the Health and Safety Executive, the University Safety Office and Trade Union safety representatives. Some types of serious accident must be reported immediately. In those cases, the Safety Office is responsible for contacting the Health and Safety Executive.

20.6 Statement of Safety Policy

It is the policy of the University to ensure that all members of the University and its staff are aware of their individual responsibility to exercise care in relation to themselves and those who work with them. To this end individuals are enjoined to:

1. familiarise themselves with University Safety Policy and any departmental safety requirements (<http://www.admin.ox.ac.uk/safety/hs-mgement-policy/>);
2. take reasonable care that all procedures used are safely carried out, and seek expert advice in any case of doubt;
3. warn of any special or newly identified hazards in present procedures or risks in new procedures about to be introduced;
4. report accidents or incidents promptly;
5. familiarise themselves with fire and emergency drills (including the location of emergency telephones) and escape routes.

20.7 Statement of Health and Safety Organisation

Please see <http://www.maths.ox.ac.uk/notices/safety/statement> for a statement of Health and Safety Organisation

20.8 Departmental Health and Safety Committee

The membership and responsibilities of the Safety Committee can be found at <http://www.maths.ox.ac.uk/notices/committees/safety>.

20.9 Code of Practice-Harassment

The University code of practice relating to harassment can be found via the following link:
<http://www.admin.ox.ac.uk/eop/harassmentadvice/>

20.10 Equal Opportunities

The department subscribes to the University Equal Opportunities Statement, see <http://www.admin.ox.ac.uk/eop/policy/equality-policy/>.

It also has its own Disability Statement:

“The Institute will do everything within its power to make available its teaching and other resources to students and others with disabilities to ensure that they are not at a disadvantage. In some cases, this may require significant adjustments to the building and to teaching methods. Those with disabilities are encouraged to discuss their needs with the Head of Academic Administration [tel: 01865 615203, email academic.administrator@maths.ox.ac.uk] at the earliest possible opportunity.

The Executive Committee is responsible for the department’s disability policy.”

In addition, individuals may seek specialist advice and support from the University Disability Office <http://www.admin.ox.ac.uk/eop/disab/> or disability@admin.ox.ac.uk or tel: 01865 615203.

20.11 Policy on Student Parents

Whether you already have a child or are about to become a parent, a wealth of services are available to support you in Oxford - from the University and Oxford University Student Union to the County Council.

<https://www.ox.ac.uk/students/welfare/childcare?wssl=1>

Further information on parental leave for postgraduate research students, including information on funding for parental leave, can be found via the following link:

<https://www.mpls.ox.ac.uk/graduate-school/information-for-postgraduate-research-students/your-rights-and-responsibilities#section-3>

21 Student Support

The University provides a number of specialist services which work to assist our students with any queries or concerns they may have regarding matters such as disabilities, childcare, counselling or careers advice.

- <http://www.ox.ac.uk/students/welfare>
- <http://www.ox.ac.uk/students/welfare/disability>
- <http://oxfordnightline.org/>
- <http://ousu.org/advice/>
- <http://www.admin.ox.ac.uk/childcare/>