

# Section B

Research

Degrees

Regulations

## B1 Principles

- 1.1 University of the Arts London (hereafter referred to as 'the University') shall award the degrees of Master of Philosophy (MPhil) and Doctor of Philosophy (PhD) to registered students who successfully complete approved programmes of supervised research.
- 1.2 Programmes of research may be proposed in any field of study within the expertise of University of the Arts London, provided that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. A research degree is characterised by the sustained, rigorous and critical investigation of a defined subject, by the openness of the research methods and results to evaluation by others, and by the contribution to public knowledge and understanding of its outcome. When creative work forms a significant part of the research programme, references to the 'thesis' are understood to mean the totality of the submission for the degree, which will include the creative work and/or documentation of the creative work, and the written text.
- 1.3 A PhD is awarded in recognition of the creation and interpretation of new knowledge through original research or other advanced scholarship. The thesis must be accessible to peers and other related academics, and give evidence of being a significant contribution to knowledge and/or to understanding of the subject researched, and of the student's capacity to pursue further research without supervision. The thesis should contain a significant amount of material worthy of publication or public presentation.
- 1.4 An MPhil degree is awarded in recognition of a systematic, well documented and well-argued study, which should demonstrate adequate knowledge and understanding, critical evaluation and discussion of a field of study. The MPhil must be accessible to peers and other related academics, must show initiative and independence of thought, and must be a distinct contribution to scholarship. It must also show evidence of the student's proficiency in the methods and techniques of research. It is an award in its own right or, alternatively, it may be undertaken as preparation for a PhD.
- 1.5 Only one award of MPhil or PhD can be made for a single project.
- 1.6 The MPhil may be awarded if the examiners consider a thesis submitted for a PhD meets the criteria specified for an MPhil (see 1.4 above) but does not meet the criteria specified for a PhD in 1.3 above (see section [10.4.iv](#) of these Regulations).
- 1.7 University Research Degrees Sub-Committee

Academic Board has delegated power to the University Research Degrees Sub-Committee to confer the award of degrees. The Committee also has delegated authority to:

- i. set and maintain standards for the award of research degrees through the approval of procedures;
- ii. consider and approve the applications to register for research degree study;
- iii. maintain an overview of students' progress, including the extension and suspension of registrations, ensuring that the guidelines and regulations for research degrees of the University are followed;
- iv. appoint internal and external examiners and Chairs for viva voce examinations;
- v. award research degrees on the basis of the report and final recommendation of the examiners;
- vi. ensure that the general arrangements under which the research of each student are carried out are satisfactory and meets the requirements of the University. These arrangements to include supervision and the provision of research training and other resources needed to enable students to complete their research to a satisfactory standard;
- vii. ensure that appropriate information relating to research degrees is available to students and supervisors;

- viii. consider confirmation reports and confirm the registration of students for the specific degrees of MPhil and PhD;
- ix. exercise all other responsibilities in relation to the registration of research degree students;
- x. monitor College's provision of resources for research degree students;
- xi. monitor the operation of College Research Degrees Sub-Committees.

## 1.8 College Research Degrees Sub-Committees

It is the responsibility of College Research Degrees Sub-Committees to:

- i. advise on the programme of work, registration and any ethical or health and safety issues of the applicant's research prior to their consideration by the University's Research Degrees Sub-Committee;
- ii. monitor student's progress, notable achievements and the effectiveness of the operation of quality assurance procedures;
- iii. assess Applications for Registration and approve these subject to RDSC ratification
- iv. ensure that the arrangements and infrastructure within the college under which students carry out their research meet the requirements of the University;
- v. be the first point of approval for applications for registration and confirmation reports and has devolved authority from the Research Ethics Sub-Committee for the approval of research ethics approval forms;
- vi. to advise on the nomination of examination teams for MPhil and PhD examination;
- vii. monitor the recruitment, registration and completion rates of research degree students.

## 1.9 University Research Ethics Sub-Committee

It is the responsibility of University Research Ethics Sub-Committee to:

- i. consider and advise as appropriate on legal, moral and ethical issues relating to research;
- ii. be responsible for the provision of an infrastructure which would facilitate the adherence to the principles of beneficence and non-maleficence, and thereby safeguard the interests of researchers, participants and those on whom the research might impact, directly or indirectly;
- iii. establish Codes of Practice on Ethics to be promulgated within the University;
- iv. review on a regular basis and recommend changes to the Codes of Practice on Ethics in the light of external and internal practice and developments;
- v. decide on applications for research ethics approval that are deemed to be more than minimal risk;
- vi. advise University Research Committee, the Research Degrees Sub-Committee or College Research Committees as appropriate, on legal, moral or ethical issues relating to research;
- vii. oversee the Research Ethics training provided for research degree students at the University;
- viii. monitor College Research Degrees Sub-Committees' operation of devolved responsibility for the approval of research considered as 'minimal risk'.

## B2 Admissions

### Entry requirements

- 2.1 An applicant seeking admission to the degree of MPhil or PhD are expected to hold a Master's degree in an appropriate subject, although the normal minimum entry requirement for a research degree is an upper second class honours degree of a British University or recognised institution of higher education.
- 2.2 In some instances, applicants without this requirement may be considered if they can demonstrate appropriate alternative qualifications, professional experience or previous research.
- 2.3 Where English is not an applicant's first language, an applicant must demonstrate evidence of English language ability to the following (or equivalent) minimum level of proficiency:  
  
International English Language Test (IELTS) scoring at least 7.0+ (with a 7.0 in writing) or a recognised equivalent as agreed by the University Language Centre.
- 2.4 These minimum University requirements may be supplemented by additional requirements by the Colleges.
- 2.5 Applications are for an unspecified research degree and include an expression of intent to complete with the degree of MPhil or PhD.

### 2.6 Candidates located outside the United Kingdom

Colleges may approve an application from a candidate proposing to work outside the UK, provided that:

- adequate facilities are available to the applicant to carry out their proposed programme of study;
- the supervisory arrangements enable regular and sufficient contact with supervisors based in the UK via electronic communication;
- if the student is working abroad there will be regular contact with the supervisory team and the student will do at least 3 weeks study in the UK.

### 2.7 Members of University staff will normally be registered to a College other than their place of work.

### The selection process

- 2.8 The process of selecting appropriately qualified and/or experienced applicants for admission to a research degree is the responsibility of the individual Colleges.
- 2.9 The Associate Dean of Research of the College to which the student has applied will consider all applications for registration for a research degree. At this stage the applicant may be invited to visit the College for an informal discussion on the proposed programme of research.
- 2.10 After consulting potential supervisors on suitability of the proposals, the Associate Dean of Research of the Colleges or a senior member of academic staff who they have deputised this role to, informs the Research Student Team which students will be invited for formal interview.
- 2.11 The interviews will be conducted by at least two members of academic staff, of which one is the Associate Dean of Research of the College or a senior member of academic staff nominated by them. The other members on the panel would normally be potential supervisors for the research.
- 2.12 The interview panel is required to complete an interview pro-forma, which will be provided by the

Research Student Team and will indicate their decision to either offer or decline the student a place on the research programme.

### 2.13 Selection criteria

Applications will be considered according to the following selection criteria:

- i. the academic profile of the applicant and his/her ability to achieve the standard of the appropriate degree within the maximum permissible timescales;
- ii. the viability of the proposed research project, its aims and its suitability for the level of award identified;
- iii. the availability of supervisors with appropriate expertise, experience of supervision and supervisory capacity;
- iv. the availability of sufficient supporting resources for the conduct of scholarly research and/or creative practice in the area of the proposed research project.

## B3 Registration

- 3.1 Following enrolment students must make their Application to Register for a research degree to the College Research Degrees Sub-Committee for consideration and approval within the first year of study. Once approved by CRDSC the Registration is then ratified by the University Research Degrees Sub-Committee, which samples 10% of the approved Applications for Registration to ensure the quality standard and due process is followed. The Application for Registration should also address any ethical issues and will either be approved by the College Research Degrees Sub-Committee, if deemed to represent minimal ethical risk, or escalated to the Research Ethics Sub-Committee if deemed to represent more than minimal ethical risk.
- 3.2 A student may register on a full-time or part-time basis.
- 3.3 College Research Degrees Sub-Committees will consider applications to register for an unspecified research degree and decide whether:
- to refer the proposal back to the student and supervisors for further information or specified modifications; or
  - to approve the proposal and forward it to University Research Degrees Sub-Committee for ratification.
  - to recommend the withdrawal of a student if they fail to make sufficient progress within their first year of study. In this case, the College's decision will be passed to the University Research Degrees Sub-Committee for approval.
  - there are any ethical issues raised by the project that constitute more than minimal risk. If this is the case, the student's ethics application will be forwarded to the Research Ethics Sub-Committee for approval.
- 3.4 University Research Degrees Sub-Committee will ratify registration of applications for registration and will sample 10% of all application for registration approved by the College Committees and decide:
- to confirm the students registration; or
  - to reject the application and withdraw the student if they have not made sufficient progress within their first year of study.
- 3.5 When considering an application for registration, CRDSC will consider the applicant's proposed programme of research, which should indicate:
- i. the topic or area to be investigated;
  - ii. the problem, hypothesis or questions to be systematically investigated;
  - iii. the methods and techniques to be used in the study;
  - iv. the relationship of the proposed research to the published literature and to current research in the applicant's field; and
  - v. the contribution to knowledge (for the degree of PhD) or scholarship (for the degree of MPhil) that the thesis would make.
- 3.6 CRDSC will also consider the ability of the University to provide an appropriate supervisory team and adequate resources for the proposed programme of research.
- 3.7 Exceptionally, URDSC may impose conditions on registration to safeguard the standard of the award.
- 3.8 If there are any ethical issues, registration is also dependent on the approval of the project proposal by the Research Ethics Sub-Committee. The research ethics form should be considered by the College Research Degrees Sub-Committee in the first instance to decide if the project constitutes minimal risk or more than minimal risk. If the former, the CRDSC will approve ethics dimension of the proposal on behalf of Research Ethics Sub-Committee. If the project represents more than minimal risk the ethics form will be forwarded to the Research Ethics Sub-Committee for approval (see [Annex 6](#) of these Regulations).

- 3.9 As part of the registration process it is compulsory for the research student to present their research at RNUAL Block 3. If it is not possible for a student to attend for reasons such as ill-health, then alternative arrangements need to be discussed with the Dean of Research.
- 3.10 Following Research Degrees Sub-Committee approval of the student's registration for an unspecified research degree, the student has a period of normally between 12 and 18 months (if full-time) or 24 to 30 months (if part-time) from the date of enrolment before which he/she can make an application to transfer to the specified research degree MPhil or PhD. This period is referred to as the probationary period.
- 3.11 Students who do not successfully register within 12 months may be withdrawn from the programme. The decision to withdraw a student will be that of the University Research Degrees Sub-Committee.

## Registration periods

- 3.12 Registration periods are as follows:

Mode of study	Minimum duration	Expected duration	Maximum duration
MPhil (full-time)	1 year 3 months	1 year 9 months	3 years
PhD (full-time)	2 years	2 years 9 months	4 years
MPhil (part-time)	2 years	3 years	6 years
PhD (part-time)	3 years	5 years	8 years

- 3.13 Where a student applies to change from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated on a pro rata basis. One year of full-time study will be considered as being equivalent to 2 years of part-time study.
- 3.14 Changes of mode of study will normally only be permitted once during the registration period, and will only take effect from the beginning of an academic year.
- 3.15 The date of formal registration will normally be backdated to the date of enrolment.
- 3.16 Students who have transferred registration from another institution may have part or all of the period of their previous registration recognised subject to a satisfactory report from their new Director of Studies.
- 3.17 Students may not normally enrol for other degrees while they are registered for MPhil or PhD.
- 3.18 Where a student is prevented, by ill health or other good cause, from making progress with the research, the enrolment may be suspended for a specified period, normally for not more than one year at a time and no more than twice during the period of registered study. Students are not normally allowed subsequent suspensions for the same reason and retrospective suspensions are not normally approved.
- 3.19 University Research Degrees Sub-Committee may exceptionally extend the period of registration beyond the maximum period.

## Writing Up Status

- 3.20 Students can apply for Writing Up status when they have completed their research and practice and a complete first draft of their thesis, including introduction and conclusion, has been approved by their Director of Studies and the Chair to their College Research Degrees Sub-Committee.
- 3.21 Writing Up status can start at any point during the year and normally starts on the 1st of the Month after the Application for Writing Up Status has been approved by the Director of Studies, Chair to College Research Degrees Sub-Committee and Chair to UAL Research Degrees Sub-Committee.

- 3.22 The maximum period for Writing Up is 12 months regardless of the mode of study of the student and does not change the student's final submission date.
- 3.23 For students who commenced their research degree in 2016/17 or earlier. The Writing Up Fee covers the period of Writing Up and is not calculated pro-rata, regardless of when the student submits.
- 3.24 If a student is unable to submit at the end of their Writing Up Status they will return to paying normal fees and may have to request to extend the period of registration beyond the maximum period.  
Students commencing their research degree in 2017/18 or later will pay their writing up fee in 4 instalments to be paid on 1 October, 1 January, 1 April, 1 July. (Requirement to pay instalments ceases on submission of PhD.)
- 3.25 During the Writing Up period the student will have full student status, however, only the Director of Studies will receive hours for the supervision.



## B4 Supervision

- 4.1 A Director of Studies will be appointed by the College as part of the offer to study, and the supervisory team must be approved by University Research Degrees Sub-Committee at the point of registration.
- 4.2 The supervisory team will consist of at least two and normally not more than three supervisors, one of whom will be the student's Director of Studies. The Director of Studies will be a member of the University's staff and, wherever possible, the co-supervisor will also be drawn from the University's staff, although external co-supervisor(s) may be appointed where the appropriate supervision experience is not available internally. In addition to the supervisory team, advisors may also be appointed to contribute specialist knowledge or provide a link with an external organisation.
- 4.3 Each member of a supervisory team should normally meet the following criteria:
- i. be a member of the academic staff of a university or recognised institution of higher education, or a research group of appropriate academic standing;
  - ii. have produced either high level creative work or publications or hold a research degree in the student's field of study (or in the general subject area if they are to be a co-supervisor);
  - iii. have experience of supervising research in the student's field of study (or in the general subject area if they are to be a co-supervisor) or have undertaken research supervisor training;
  - iv. not be reading for a research degree at UAL or any other institution;
  - v. not have a close personal or professional (such as line management) relationship with the other supervisor(s) or with the student.
- 4.4 The responsibilities of supervisors are set out in the Code of Practice for supervisors and research students ([Annex 7](#) of these Regulations).
- 4.5 Within the supervisory team as a whole, there should be a combined experience of supervising at least two research degrees to successful completion. Where a student's ultimate objective is a PhD, at least one of these two completions should be a doctorate. If a supervisor has successfully completed the SEDA accredited Supervising A Research Degree elective unit from the MA Academic Practice which is co-ordinated through the University's Teaching and Learning Exchange (TLE) or an equivalent SEDA accredited course at another University, this will be counted as the equivalent of one completion, though this is only the case when the other member of the team holds one full completion.

## B5 Confirmation

- 5.1 Students are registered initially for an unspecified research degree, at which point they will have indicated their intended degree (MPhil or PhD). The application to confirm the degree for which they will be examined will normally take place after a probationary period of 12 to 18 months for full-time students and 24 to 36 months for part-time students.
- 5.2 In making their application to confirm the degree for which they will be examined, students are required to provide (normally in a document of no more than 10,000 words):
- i. A contextual review (e.g. a literature or practice review) and an analysis of methods employed which may later form a chapter of the final thesis. If the student intends to submit a body of creative, practical work for the final examination, the contextual review will include a practice review. A practice review explains the significance of the student's own work in the appropriate historical, critical and theoretical context and should include documentation of the project.
  - ii. a detailed plan of the research project to completion and chapter outlines for the written text (and, if the degree includes a significant body of creative work, an indication of the likely form of the creative work at submission in terms of documentation or exhibition/ event).
  - iii. an abstract outlining the main thesis of the work.
  - iv. a comment on any new ethical considerations since Registration.
  - v. a written health and safety risk assessment (if applicable).
- 5.3 A formal meeting will be held and the student will be invited to make a short presentation on the work achieved to a confirmation panel.
- 5.4 The panel will normally consist of the supervisory team and one other member of the University's academic staff normally from a different College than the student; exceptionally an external may be included if the topic is very specialised. The independent academic is required to have the experience of at least one Research Degree completion. The Director of Studies would normally be expected to chair the meeting. The independent member of the University's academic staff will lead the questions about the work presented and contribute their judgement on the student's work to the writing of the report.
- 5.5 The panel will complete the confirmation report at the same time as the meeting in order to record the supervisors' comments and recommendations and confirm supervisory arrangements.
- 5.6 At the Confirmation meeting the Director of Studies and co-supervisor(s) are required to provide in writing:
- i. an assessment of the student's work and progress since registration;
  - ii. comments on; the contextual review; the analysis of methods employed; the schedule for the completion of the research project proposed by the student; and description of chapter headings and (if applicable) creative work to be submitted;
  - iii. details of the progress reviews undertaken during the probationary period, including a report of the meeting held in connection with this probationary report;
  - iv. details of any concerns they may have about the student's performance and ability to complete successfully a research degree within the maximum registration period;
  - v. details of supervisory arrangements, including details of the division of responsibilities between the supervisors, in relation to the assessment of the student's written work, frequency and approximate duration of supervisory sessions and the date of the most recent contact;
  - vi. comments on the annual assessment of any new ethical considerations for which the student may need to seek approval;
  - vii. comments on the annual health and safety written risk assessment of the student's research (if applicable).

- 5.7 The panel should make a recommendation in their report to the College and University Research Degrees Sub-Committees as to whether the student's registration for either MPhil or PhD should be confirmed; the probationary period extended by a maximum of 3 months for full-time and 6 months for part-time students (to enable items of further work to be completed – the panel should normally remain the same when reconvened to assess the student's progress); or their registration discontinued.
- 5.8 The Director of Studies is responsible for submitting the final report to the relevant secretary of College Research Degrees Sub-Committee. The supervisors must ensure that, at the end of the meeting, the student has a chance to discuss any further issues with the independent academic privately. The report will be sent to College Research Degrees Sub-Committee for comment and a recommendation, and then to University Research Degrees Sub-Committee, which will consider the report and confirm the recommendation.
- 5.9 A copy of the report will be shown to the student after University Research Degrees Sub-Committee has approved it. The student has the right to appeal against the confirmed recommendation, according to the procedure laid out in the Section 11 of these Regulations.
- 5.10 As part of the confirmation process it is compulsory for the research student to present as part of the RNUAL Block 2. If it is not possible for a student to attend for reasons such as ill health, then alternative arrangements need to be discussed with the Dean of Research.

## Criteria to be considered

- 5.11 The purpose of this stage is to confirm that:
- i. the student has the knowledge and skills appropriate to completing their research programme;
  - ii. that they have completed work of a quality to justify continuation and that the research methods are appropriate and practical;
  - iii. that the proposed research is likely to make a significant contribution to knowledge (as set out in the requirements for the award of a PhD at the University); or that confirmation as MPhil is more appropriate;
  - iv. that a realistic plan is in place for completion of the research within the expected timeframe.
- 5.12 For those students where practice is to form a significant component of the thesis, the papers presented must:
- i. clearly articulate the role and purpose of the practice within the overall research project;
  - ii. identify how the creative/practical work (both achieved and anticipated) are likely to be included in the final submission and how this will be presented (as event or exhibition) and documented for final examination;
  - iii. identify which research methods have informed their work and present the contexts (both historical and/or theoretical) in which they are working;
  - iv. offer reflection on the development of their practice, with an emphasis on what can be communicated to others (i.e. as a contribution to new knowledge in the field).

## B6 Monitoring progress of the research

### Annual Reports

- 6.1 Each year the supervisory team will produce an annual report for their student regardless of registration or writing up status. An annual report is not required for students who have submitted or will submit their thesis, or have completed Confirmation during the academic year.

The report should either be an agreed text or a composite report with at least a paragraph of comment from each of the supervisors. The report should cover the following points (although not all of them will be relevant to all students):

- i. an assessment of the student's progress over the past year;
- ii. details of any academic contributions made by the student to publications, seminars, conferences, etc;
- iii. details of any formal training undertaken;
- iv. details of any concerns about the student's performance and ability to complete their research degree successfully within the appropriate maximum registration period;
- v. details of any changes in ethical considerations;
- vi. any changes that require a review of the health and safety risk assessment;
- vii. details of supervisory arrangements, including details of the division of responsibilities between the supervisors, in relation to the assessment of the student's written work, frequency and approximate duration of supervisory sessions and the date of the most recent contact;
- viii. a recommendation:
  - that the student's registration should be continued for a further year; or
  - that registration should be continued for a limited period subject to specified conditions, etc; or
  - that registration should be discontinued.

- 6.2 Annual reports for continuing students need to be submitted on the 1st of July each year to the College Research Degrees Sub-Committees and referred to University Research Degrees Sub-Committee only where there are matters of significant concern.

- 6.3 Annual reports for first year students need to be submitted after RNUAL Block 3 on 1st July of the year to include RNUAL attendance and presentation.

- 6.4 An annual report needs to be completed for each year of study apart from the year in which a student is undergoing the process of Confirmation.

### Supervisory Record Sheets

- 6.5 Students are required to complete a Supervisory Record Sheet after each formal supervision (normally 10 per year for full-time students and 5 per year for part-time students) and submit this to the supervisor(s) for comments. Once agreed the record sheet needs to be submitted to the Research Student Team for filing and to be circulated to the further supervisory team for noting.

## B7 The thesis

- 7.1 Students may undertake a programme of research in which their own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. In such cases, the 'thesis' is understood to mean the totality of the work submitted for the degree, which will include the creative work itself (or its adequate documentation) and a written text. Such creative work may be in any field within the competence of the staff, and commensurate with the mission statement, of the University.
- 7.2 After enrolment but before a degree has been awarded, a student may publish papers or exhibit work arising from the research. A note must be made in the thesis of any material that has been published or exhibited, and reprint(s) (or the equivalents) must be submitted with the thesis.
- 7.3 Where there is a requirement for the thesis to remain confidential for a period of time after completion of the work, application for confidentiality shall normally be made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, the application for the thesis to remain confidential after submission shall be made at the same time as approval is sought for examination arrangements. The period approved shall normally not exceed two years from the date of the oral examination.
- 7.4 The copyright of the thesis shall normally be vested in the student.
- 7.5 The thesis shall be presented in English.
- 7.6 There shall be an abstract of approximately 300 words bound into the written text on the page following the title page and which shall provide a synopsis of the thesis, stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- 7.8 The thesis written text shall acknowledge published or other sources of material consulted and any assistance received.
- 7.9 The student must confirm that the thesis has not been submitted for a comparable academic award.
- 7.10 In exceptional circumstances it is, however, permissible to incorporate, in a thesis covering a wider field, work that has already been submitted for a degree or comparable award, as long as both the declaration form and the thesis make clear which part of the work this is.
- 7.11 Where a student's research programme is part of a collaborative group project, the written text shall indicate clearly the student's individual contribution and the extent of the collaboration. The signed declaration must state how far the work contained in the thesis was the student's own work, or how far it was undertaken in collaboration with, or with the assistance of, others.
- 7.12 The final submission must be accompanied, where appropriate, by an archival record (such as video, photographic record, musical score, diagrammatic representation or digital storage medium) of the candidate's practice. Such a record must be in a standard retrievable form that has been agreed with the Chair to URDSC.
- 7.13 The length of the written part of the thesis includes foot- and endnotes, but excludes appendices, the bibliography and translations from texts that do not exist in another format and should be:
- i. for a PhD: not more than 100,000 words regardless of whether the research is text or practice based; the minimum word count for a text based thesis is 60,000 words whereas for practice-based thesis it is 30,000 words.
  - ii. for an MPhil: not more than 60,000 words regardless of whether the research is text or practice based; the minimum word count for a text based thesis is 40,000 words whereas for practice-based thesis it is 15,000 words.

- 7.14 The student shall ensure that the format and binding of the thesis is in accordance with the requirements prescribed by the Research Degrees Sub-Committee ([Annex 4](#) of these Regulations).
- 7.15 In the event that a thesis is not submitted within the timeframe as approved by the University Research Degrees Sub-Committee, the student will be required to pay additional tuition fees until submission.

## B8 Examination

8.1 The examination for a research degree shall have the following stages:

- i. the student's submission of the thesis and the examiners' independent preliminary assessment of it, which will be recorded in a written report;
- ii. the defence of the thesis by viva voce or University Research Degrees Sub-Committee approved alternative examination.

The viva voce examination should normally be completed within three months of the formal submission of the thesis for examination as long as the examiners have indicated in their preliminary reports that they are happy for the viva voce to take place.

8.2 Students submitting a thesis that includes a body of creative work may wish to arrange a visual representation of this work for the approved examiners to view prior to the oral examination as a means of familiarising themselves with the student's practice. In this case the student would be responsible for making the practical arrangements. The normal procedure would also be that the examiners view the work themselves prior to then viewing it with the student. However, this decision rests with the examiners.

8.3 The submission of the thesis for examination shall be at the sole discretion of the student. While a student would be unwise to submit the thesis for examination against the advice of the supervisors, it is the student's right to do so. Equally, students should not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree.

8.4 It shall be the responsibility of the student to ensure that one copy of the thesis for each approved examiner and for the Chair of the Examination as well as a digital (pdf) version of the thesis are submitted to Research Management and Administration before the expiry of the maximum period of registration.

8.5 A student shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause, the University Research Degrees Sub-Committee is satisfied that the student would be seriously disadvantaged if required to undergo an oral examination, the University Research Degrees Sub-Committee may approve an alternative form of examination.

8.6 The oral examination shall normally be held at the University and shall normally be chaired by a nominee of the University Research Degrees Sub-Committee. After receiving the thesis, the Research Student Team will arrange the location and time of the oral examination by agreement between examiners, observer (normally the Director of Studies, cf point 9.15 below) and the student taking into account the following guidance:

- i. The date should normally be within three months of the examiners' receipt of the thesis.
- ii. The place should normally be on the premises of the University, but it may be at the external examiner's place of work or elsewhere within the UK.

8.7 Apart from the oral examination, the student should not have any contact with the nominated examiners during the entire examination process, i.e. from submission to final approval.

8.8 University Research Degrees Sub-Committee shall ensure that all examinations are conducted, and the recommendations of the examiners are presented, wholly in accordance with these regulations. In any instance where University Research Degrees Sub-Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.



## B9 Examiners

- 9.1 One external and one internal examiner shall normally examine a candidate. Two external examiners may examine a candidate where no suitable internal examiner is available. Where the candidate is a member of staff of the University or a partner college (that is, subject to working over the six hours a week threshold) there shall be two external examiners and one internal examiner.
- 9.2 Internal examiners, external examiners and the Chair of the oral examination should not be related to or have a close personal or contractual relationship with the supervisors or other members of the examining panel.
- 9.3 Internal examiners, external examiners and the Chair of the oral examination should not be related to or have a close personal, professional or contractual relationship with the student.

### External examiners

- 9.4 An external examiner shall be independent of the University, Partner College or collaborating establishment (as stated in the student's application to register form) and shall not have acted previously as the student's supervisor, advisor or external member of the student's Confirmation panel.
- 9.5 An external examiner shall normally not be either a supervisor of another student at the same College, Partner College or collaborating establishment (as stated in the student's application to register form). Former members of staff shall normally not be approved as external examiners until three years after the termination of their employment with the University.
- 9.6 The external examiner(s) should normally:
- i. be competent in the area of work being examined;
  - ii. be experienced in research, including having published exhibited or have professional practice in the field;
  - iii. be experienced in the examination of research students; or if not, then to normally have the experience of supervising at least one research degree student to completion.
- 9.7 The external examiner will normally be an academic from another higher education institution, but from time to time it may be appropriate to appoint an examiner from outside the university sector. In such cases, the examiner must at least have an understanding of the examination process, and if s/he has not previously examined a research student then a mentoring session with an experienced member of RDSC will be offered.

### Internal examiners

- 9.8 An internal examiner shall be defined as an examiner who:
- i. is a member of staff of the University, partner college or collaborating establishment;
  - ii. has relevant knowledge of the thesis subject area;
  - iii. has not been a supervisor or adviser to the student;
  - iv. is experienced in research or has professional practice in the field;
  - v. is experienced in the examination of research students; or if not, then to normally have the experience of supervising at least one research degree student to completion;
  - vi. has not been part of the student's Confirmation interview;
  - vii. where possible is a member of staff based at a different College from the student (partner colleges are exempt from this requirement).
- 9.9 University Research Degrees Sub-Committee shall appoint the examiners. The Director of Studies shall propose the examiners to the Committee for approval at least three months before the



expected date of submission. The examination shall not take place until the examiners have been appointed by the Committee.

- 9.10 The University Research Degrees Sub-Committee will nominate a senior member of academic staff at the University with experience of at least 3 previous examinations to Chair the oral examination. The Chair will oversee the oral examination and the Examiners' meeting(s) and ensure that the appropriate report and recommendation is passed to the Committee. The Chair will also not normally be based at the same College as that of the candidate who is to be examined.
- 9.11 In appointing examiners, University Research Degrees Sub-Committee will ensure that the examining panel has the necessary expertise and experience. It is expected that there will be a total of at least three previously examined research degrees within the panel, although allowances can exceptionally be made in subject areas where there is little history of research degree activity. The total examinations of the panel exclude those of the Chair of the examination.
- 9.12 Normally the internal examiner should have prior experience of research degree examination, however, an internal examiner may be appointed who has subject experience but lacks examination experience, subject to University Research Degrees Sub-Committee approval. If s/he has not previously examined a research student then a mentoring session with an experienced member of URDSC will be offered.
- 9.13 In an examination for PhD at least one examiner shall have experience of PhD examining.
- 9.14 The University Research Degrees Sub-Committee shall ensure that the same external examiner is not approved so frequently that familiarity with the University might prejudice objective judgement.
- 9.15 One of the candidate's supervisors (usually the Director of Studies) will normally be present at the oral examination as a non-participatory observer.
- 9.16 In exceptional circumstances the Research Degrees Sub-Committee may act directly to appoint examiners and the observer, and arrange the examination of a student.
- 9.17 The candidate shall take no part in the proposal or appointment of examiners and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.
- 9.18 No student for a research degree shall be appointed as an examiner.
- 9.19 Where an examination cannot be held within three months of the submission of the thesis because of the unavailability of an examiner, the Research Degrees Sub-Committee may rescind the appointment of all or any of the examiners and appoint new examiners as appropriate.
- 9.20 In the event that an examiner for good reasons, is not available where the viva outcome is re-examination with second viva, the Research Student Team will contact the student and supervisory team with the request to propose a new examiner, using the Approval of Examination Arrangements form with an Examiner's Details form for the new examiner, which will then be considered by URDSC. If approved the Research Student Team will send them the thesis and the report of first Examination complete with guidance on what the thesis will be judged against. If the supervisory team is unable to find a new examiner the student's abstract and first report will be taken to University Research Degrees Sub-Committee for recommendations of examiners.

## B10 The viva voce

- 10.1 The examiners must each submit a written preliminary report on the thesis five working days prior to the oral examination. This report should consist of a brief indication of examiner's view of:
- i. the likely outcome
  - ii. the nature of any corrections to be made
  - iii. that the examiner is happy for the viva voce to go ahead.
- 10.2 In order for the viva to take place the internal and external examiners need to be in agreement that this should be the case. If the examiners disagree on this point then the Chair will be responsible for making the final ruling and will report this back to the University Research Degrees Sub-Committee.
- 10.3 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination be postponed and return the thesis for further work and resubmission. They should do this at least five working days before the viva voce examination. In such a case the examiners shall provide University Research Degrees Sub-Committee with written guidance for the student concerning the deficiencies of the thesis. The examiners shall not recommend that a student fail outright without holding an oral examination or other alternative examination. If a member or members of the examination team do not feel it would be appropriate to participate in an oral examination of the student then the matter will be referred to University Research Degrees Sub-Committee for further guidance and advice. The report approved by University Research Degrees Sub-Committee will count as first examination with the result resubmission with viva voce (see item 10.7 iii for further information) and the student will be sent the report as after first examination.
- 10.4 On the day of the oral examination the Chair and examiners, should meet beforehand to agree on the structure of the questioning.
- 10.5 The oral examination should cover all aspects of the thesis, in particular the points selected by the examiners at their preliminary meeting. The student should be given an opportunity to comment on any adverse points and on any amendments of substance that examiners are intending to recommend. Examiners may sometimes want to indicate their initial opinion of the thesis at the beginning of the oral examination, so that the student has the opportunity to challenge it. The examiners should satisfy themselves that the thesis is the student's own original work.
- 10.6 The oral examination may include the inspection of practical work, demonstration of software, viewing original data, or any other reasonable request from the examiners. The examiners should make such requests in advance to the student. Equally, the student may offer some form of practical introduction but this should not normally introduce material not included in the thesis; again, such an offer should be made in advance. The student may bring an annotated copy of the thesis and any other source materials to the oral. The duration of the oral will vary according to such factors as the nature of the thesis, the size of the panel.
- 10.7 The examiners may recommend that:
- i. The student should be awarded the degree unconditionally;
  - ii. The student should be awarded the degree subject to minor amendments to the thesis to be completed within two months of the notification in writing to the satisfaction of the internal and/or external examiner (to be agreed by the examiners at the time of examination). The examiners shall provide a list of the minor amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. Minor amendments are restricted to required changes that are typographic or grammatical in nature or to required changes to the presentation of practice that are of a similar scale. Minor amendments can also include minor changes to references, re-writing of small sections of the text where this improves existing explanations or

descriptions or limited amendments to the presentation of the practice that is of a similar scale. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them for confirmation that the amendments are satisfactory. If the amendments are satisfactory, the examiners will report to the URDSC that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

iii. The student should be awarded the degree subject to the student successfully completing specified major amendments within six months of these being notified in writing. The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. Major amendments will be required if the thesis otherwise fulfils the criteria for the PhD degree set out in Section 7 of these regulations, but requires amendments to address errors of substance or omission, and the student satisfies the examiners in all other parts of the examination. This option is not available to examiners re-examining a thesis. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them, for confirmation that the amendments are satisfactory, without the requirement to conduct a further viva. If the amendments are satisfactory, the examiners will report to the University Research Degrees Sub Committee that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments.

iv. The student should not be awarded the degree but be permitted to re-submit the thesis in revised form and be re-examined by all examiners, with or without an oral examination (to be agreed by the examiners), within twelve months of the notification in writing. This option is not available to examiners re-examining a thesis. The examiners shall not make such a decision without first submitting the candidate to an oral examination. The examiners should recommend resubmission only if there is sufficient evidence of original work and if the amount of further work to be undertaken is not so substantial as to constitute a new thesis. The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office.

v. In the case of a PhD examination, the examiners may recommend to University Research Degrees Sub-Committee that the student should not be awarded the degree of PhD, but be awarded the degree of MPhil subject to all the criteria for the award of MPhil being met and the presentation of the thesis being amended to the satisfaction of the examiners.

vi. The student should not be awarded any degree and should not be permitted to re-submit the thesis. In this case the examiners shall prepare an agreed general statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the Research Management and Administration Office for transmission to University Research Degrees Sub-Committee and to the student.

10.8 Normally the panel is expected to inform the candidate of its recommendation on the same day of the oral examination by calling the candidate back after the examiners have adjourned for a brief discussion.

10.9 Directly following the oral examination, with the Chair's guidance the examination panel should complete and sign off the Examiners' Joint Report form indicating the panel's agreed recommendation from the options provided above and prepare a joint report. The Examiners' Joint Report form and list of required amendments will then be submitted to the Research Student Team who will forward it to the University Research Degrees Sub-Committee for consideration. The examination panel's report should therefore be sufficiently detailed to enable the University Research Degrees Sub-Committee to reach a well-founded decision. Where the examiners are not in agreement, separate reports and recommendations should be submitted.

In all cases the examination panel's decision will only be officially confirmed following approval of the examination panel's recommendation and report by University Research Degrees Sub-Committee with which rests the power to confer an award of either PhD or MPhil.

The Research Student Team will communicate examination panel's recommendations and reports, which have been endorsed by University Research Degrees Sub-Committee, to the candidate.

- 10.10 Where the examiners are not in agreement separate reports and each examiner should submit recommendations. In this case the University Research Degrees Sub-Committee may:
- i. accept a majority recommendation provided that this majority includes at least one external examiner; or
  - ii. require the appointment of an additional external examiner. Following this appointment, there shall be one re-examination only.

## Viva results

### 10.11.1

#### Unconditional Award

In the case of recommendation unconditional award, the award of PhD will be confirmed once the candidate has submitted one hard bound copy and a digital copy (pdf) of their thesis to the Research Student Team and resolved any outstanding tuition fee debts.

### 10.11.2

#### Minor Amendments

In the case of recommendation Minor Amendments, the examiners shall jointly provide a list of the corrections and minor amendments that are required. The candidate is then required to complete these amendments within two months of official notification by the Research Student Team and return the thesis to that office. Once the revised thesis is submitted the nominated examiner/s will be required to check the amended thesis and confirm whether or not they approve the award of PhD.

If the award is confirmed the procedure outlined in 10.11.1 will apply. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

### 10.11.3

#### Major Amendments

In the case of recommendation of major amendments the examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. The student is required to complete these amendments within six months of official notification by the research student team. This option is not available to examiners re-examining a thesis. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them, for confirmation that the amendments are satisfactory, without the requirement to conduct a further viva. If the amendments are satisfactory, the examiners will report to the University Research Degrees Sub Committee that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

#### 10.11.4

##### Re-submission

In the case of recommendation re-examination, the examiners shall jointly provide the candidate with written guidance on the deficiencies of the submission. The examiners' joint examination report will indicate whether the re-examination will be with or without a second viva and will be submitted to the Research Degrees Sub-Committee for approval. The thesis should be submitted within twelve months of notification in writing. The re-examination, subject to the provisions of these Regulations, shall cover those aspects of the first examination in which the candidate's performance was not satisfactory and may cover any new or amended material included in the resubmitted thesis.

Once the candidate's revised thesis is submitted the examiners will then be required to re-examine the thesis completing the examiners' re-examination joint report form and make a recommendation to:

- i. award the degree unconditionally;
- ii. award the degree subject to minor amendments to the thesis to be completed within two months of the notification in writing to the satisfaction of the internal and/or external examiner (to be agreed by the examiners at the time of examination). The examiners shall provide a list of the minor amendments and corrections required in writing for communication to the student by the Research Management and Administration Office;
- iii. in the case of a PhD examination, not be award the degree of PhD, but award the degree of MPhil subject to all the criteria for the award of MPhil being met and the presentation of the thesis being amended to the satisfaction of the examiners;
- iv. not to award any degree and not to permit re-submission of the thesis. In this case the examiners shall prepare an agreed general statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the Research Management and Administration office for transmission to University Research Degrees Sub-Committee and to the student.

These will also be the options available to the examiners in the event that a second viva is required or in the event that the examiners deemed the thesis submitted was not strong enough for the viva to go ahead after first submission.

If the award of PhD is confirmed the procedure outlined in 10.11.1 will then apply.

In the event that the amended thesis is not approved by the examiner/s or is not submitted within the specified deadline this will be passed to the University Research Degrees Sub-Committee for consideration.

#### 10.11.5

##### Recommendation for the Award of MPhil

In the case of recommendation of Award of MPhil examiners shall jointly:

- i. Explain briefly in the final report why they consider that the thesis could not be revised to meet the criteria for the award of PhD for which it was submitted;
- ii. Confirm that the thesis (subject to any specified correction or amendment) fully meets the criteria for the recommended award of MPhil. It is not enough for a thesis to fall somewhat short of the PhD criteria; it must qualify positively for the award of MPhil;
- iii. Specify the amendments required to meet the award of MPhil.

- iv. If endorsed by the University Research Degrees Sub-Committee then the Research Student Team will inform the candidate of the examination panel's recommendation and required amendments and provide the deadline as recommended by University Research Degrees Sub-Committee for the candidate's resubmission of the revised thesis to the Research Student Team.

Once the candidate's revised thesis is submitted the nominated examiner/s will be required to check the amended thesis and confirm whether or not they approve the award of MPhil.

If the award of MPhil is confirmed the procedure outlined in 10.11.1 will then apply. In the event that the amended thesis is not approved by the examiner/s for the award of MPhil or submitted within the specified deadline then this will be passed to University Research Degrees Sub-Committee for consideration.

#### 10.11.6

##### Non-award and Resubmission

In the case of recommendation 'Non-award and Resubmission' where the examiners recommend that a degree of an MPhil not be awarded, the candidate may not resubmit for a research degree (including an award of MPhil/PhD by Published Work) within a period of three years from the date of the original examination. Any further submission must include evidence of additional work.

#### 10.12 Posthumous Awards

A research degree may be awarded posthumously on the basis of a thesis prepared by a student that is ready for submission for examination. In such cases evidence shall be provided that the student would have been likely to be successful had the oral examination taken place.

## B12 Disciplinary code for students

- 12.1 There is a separate appeal procedure for student disciplinary cases ([Annex 8](#) of these Regulations).
- 12.2 If there is evidence of plagiarism in the preparation of the thesis or if evidence comes to light after the examiners have made their recommendation, action will be taken in accordance with the University's Disciplinary Code for Students ([Annex 8](#) of these regulations). The definition of plagiarism is set out in [Annex 2](#) of these Regulations.

## B13 Grievances and complaints

- 13.1 The University provides all students with a Charter that sets out the rights and responsibilities of students following a course of study at the University. In accordance with the Charter, all students are supplied with copies of the University's general regulations on grievance procedures, which relate to non-academic matters, complaints, which relate to academic matters and appeals, which relate to assessments. These can be found on the intranet. The following complaints procedures are intended for academic related issues that specifically relate to research students.

### Grievances

- 13.2 The following issues which may give rise to complaint by a research degree student(s) are covered in the grievance procedures for all students referred to above:
- i. assault or serious or threatening behaviour
  - ii. sexual harassment
  - iii. racist activity or behaviour
  - iv. abusive or unreasonable behaviour
  - v. any action likely to cause injury or impair the safety of the student
  - vi. unacceptable social behavior.

### Complaints

- 13.3 The complaints procedures below are intended for those issues that may give rise to complaint, relating to matters specifically pertaining to research degree students such as:

- inadequate supervision\*
- loss of or undue delay in the return of work\*
- non-availability of essential equipment or resources necessary to complete work\*
- plagiarism of the student's research
- unauthorised disclosure of confidential information to a third party
- appeal against assessment outcome (see Section 11 of the regulations)
- maladministration\*

\* In this case, other than in exceptional circumstances, it is expected that a formal complaint would not be made on the basis of an isolated incident but that there would be evidence of a continuing problem before the complaint was pursued.

- 13.4 Students are encouraged to raise issues at an early stage. This is particularly important since delay may create problems in the subsequent investigation of the complaint. Complaints must be made before the final thesis examination and cannot constitute grounds for appeal against the outcome of the examination.
- 13.5 At all stages of the complaint, a member of staff against whom a complaint has been made may be accompanied by an accredited trade union officer or another individual employed by the University.

### Informal procedure

- 13.6 Students are encouraged first of all to raise complaints with their Director of Studies (or with the Associate Dean of Research of the College within which she/he is located if the complaint relates to the Director of Studies). If the Director of Studies is the Associate Dean of Research complaints should be raised informally with the Dean of Research.
- 13.7 The Director of Studies (or alternative as stated in 13.6) should record the nature of the complaint and attempt to resolve it to the satisfaction of all parties involved, noting any actions taken, normally



within two weeks. In many cases it will be possible to resolve the issues amicably at this stage.

- 13.8 The formal procedures should normally only be used either where the complaint is so serious as to make it inappropriate to deal with it at an informal level or where informal action at the departmental level has failed to resolve the issue to the satisfaction of the student.

## Formal procedures

### Stage 1

- 13.9 Any formal complaint shall be made in writing and addressed to the Chair of the Research Degrees Sub-Committee. If the complaint relates to the Chair, the complaint shall be addressed to the Deputy Vice-Chancellor, Academic who shall ask an appropriate member of the Committee to act on the Chair's behalf. Hereinafter, references to the Chair shall also be read to include a member acting on his/her behalf.
- 13.10 The Chair shall copy the complaint to the student's Director of Studies, any staff member(s) against whom the complaint is made or who is responsible for taking action to redress it (hereinafter referred to as the member(s) of staff directly involved), the Secretary of the Committee, and the Associate Dean of Research of the College in which the student is located. If the complaint relates to senior staff, it shall be copied to the Pro Vice-Chancellor. If the complaint relates to the Pro Vice-Chancellor, it shall be copied to the Deputy Vice-Chancellor, Academic.
- 13.11 Any member(s) of staff directly involved shall have the opportunity to respond to the complaint in writing, normally within ten working days of receipt of notification.
- 13.12 The Chair, in consultation with the Associate Dean of Research (or Pro Vice-Chancellor as appropriate), shall take such steps as are necessary, including taking written evidence, to establish and clarify the nature of the complaint. This may include consultation with other members of the Committee. The Chair and Associate Dean of Research (or Pro Vice-Chancellor) may determine:
- i. that the complaint is inappropriate within the grievance procedure and should be dismissed;
  - ii. that the complaint might be resolved amicably, in which case they shall endeavour to do so;
  - iii. that the complaint be upheld;
  - iv. that the complaint highlights issues which they feel unable to resolve or raises issues of principle or interpretation of the procedures, in which case the complaint shall be referred to Stage 2.

If the decision is that the complaint be upheld, the Chair shall recommend to the Committee and/or Pro Vice-Chancellor as appropriate the action to be taken. This may include, inter alia:

- i. that appropriate supervision be provided (this may involve changing the student's supervisory arrangements);
  - ii. that relevant equipment/resources be provided;
  - iii. that the focus of the project be reviewed;
  - iv. that the University take appropriate action in respect of the member(s) of staff directly involved.
- 13.13 The Chair shall make the conclusions known in writing to the student, normally within one month of receiving the written complaint. The conclusions shall be copied to the Secretary of the Research Standards and Development Committee, the student's Director of Studies and any members(s) of staff directly involved.

### Stage 2

- 13.14 Pro Vice-Chancellor shall set up a panel to consider the complaint, normally within one month of receiving notification of appeal or of referral to Stage 2 under 1iv) above. If the complaint relates to

the Pro Vice-Chancellor or Central Service, this shall be addressed to the Deputy Vice-Chancellor, Academic. Hereinafter, references to the Pro Vice-Chancellor shall also be read to include the Deputy Vice-Chancellor, Academic in appropriate cases. The Pro Vice-Chancellor shall notify the Chair and Secretary of the Research Standards and Development Committee, the student, any member(s) of staff directly involved, and the student's Director of Studies that the complaint has been referred to Stage 2.

- 13.15 The Panel shall consist of the Pro Vice-Chancellor of the relevant College, two student representatives nominated by the Students' Union and two members of staff nominated by the Pro Vice-Chancellor. At least one staff representative shall be nominated from among the members of the Committee. The Pro Vice-Chancellor shall make every effort to ensure that membership of the Panel is acceptable to both the student and any member(s) of staff directly involved.
- 13.16 The Panel shall be chaired by the Pro Vice-Chancellor. In advance of meeting, the Panel shall receive copies of the grievance, any statement made in rebuttal by any member(s) of staff directly involved, the conclusions of Stage 1 against which the appeal has been lodged (if applicable), the reasons for the appeal (in writing), and any other evidence submitted in writing by the student or any members(s) of staff directly involved. All papers submitted to the Panel shall be made available to the student and to any member(s) of staff directly involved.
- 13.17 The Panel shall determine its own procedures, but it shall normally hear all parties in person (although any party may be accompanied by a friend, such as a member of staff or student of the Sponsoring Establishment or an accredited Trade Union officer or a legal adviser, who may speak for them). All evidence shall be presented through the Chair and examination of witnesses shall be through members of the panel.
- 13.18 Where a complaint has been referred direct to Stage 2, the Panel has open to it all the options listed above. Where the Panel is hearing an appeal against a decision taken at Stage 1, it may in addition determine:
- i. that the appeal is inappropriate within the grievance procedure, or is frivolous or mischievous and should be dismissed;
  - ii. that the issue might be resolved amicably, in which case the Chair shall initiate such conciliation as seems appropriate;
  - iii. that the decision of Stage 1 be upheld.
- 13.19 The Panel shall make known its findings in writing to the student, any staff member(s) directly involved, the Students Union and the Chair and Secretary of the Committee, normally within ten working days of the hearing. If conciliation was recommended by the Panel, the Chair shall endeavour to take appropriate action within.

# Section C

## Annexes

# Annex 1      Research degree forms

## 1      Application

Applications should be completed online through the UAL Applications system and submitted by the deadline published on the website.

## 2)      Application for Registration Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team following enrolment. More information about Registration can be found in [Section A3](#).

## 3)      Supervisor Details Form

This form can be downloaded from Moodle and needs to be completed by academics supervising UAL students at the start of each academic year to ensure the information held by the Research Student Team is correct. The team also circulates the forms at the start of the academic year to request academics to submit an amended version. This form is added to the Application for Registration Form when that is submitted to the College Research Degrees Sub-Committee so the Committee can assess the suitability of the team to supervise the project and whether the team proposed is qualified to supervise a Research Degree at UAL.

## 4)      Supervision Record Sheet

This form can be downloaded from Moodle and needs to be completed by the student following each formal tutorial session. The student should then request the supervisor(s) to add their comments before circulating the final document to the complete supervisory team and [researchdegrees@arts.ac.uk](mailto:researchdegrees@arts.ac.uk); a member of the Research Student Team will then add it to the student's digital file.

## 5)      Annual Report Form

This form can be downloaded from Moodle and needs to be completed by the supervisory team and the student in May or June each year, except in the student's Confirmation year, for submission to the July College Research Degrees Sub-Committee meeting. Lack of a completed Annual Report may slow down the re-enrolment process as the completed forms are used as proof of approval of progress.

## 6)      Confirmation Report Form

College Research Degrees Sub-Committee (if the outcome is to resubmit in 3 to 6 months' time) or by the University Research Degrees Sub-Committee (if a decision, MPhil/PhD/Discontinuation, has been made), the report is sent to the student by the Secretary to the relevant Sub-Committee. The report should therefore be clear and detailed enough to reflect the student's progress and Confirmation documentation, particularly if the student is requested to make amendments to the form. If this is the case then the list of required amendments needs to be included in the document.

## 7)      Post Registration Ethics Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team if anything in the project changes after registration that may change the ethical implications of the project (for instance, if the student decides to do interviews as part of the research). Once completed the form and any supporting documentation needs to be submitted to the Secretary of the College Research Degrees Sub-Committee for inclusion in the Committee paperwork. If the CRDSC decides that the project now represents more than minimal ethical risk, then your form will be forwarded to the Research Ethics Sub-Committee and you will not be able to continue the newly introduced element until approved by RESC; if it is deemed to represent minimal ethical risk, then the Secretary of CRDSC will confirm this and you can

continue with your research.

## 8) Request for Change of Mode of Study Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team if a student wants to request a change of mode of study either from full-time study to part-time study or vice versa. Changes of mode of study are only possible during the enrolment period and should therefore be received by the middle of September of any year at the latest. It is normally only possible to change mode of study once during your degree at UAL. If your request is approved, you will receive information on the new fees you are liable for as well as the amended timeline you will be working towards.

## 9) Request for Change in Supervisory Arrangements Form

This form can be downloaded from Moodle and needs to be completed when a student's supervisory arrangements change. The form needs to be signed by the student, the existing supervisory team and the proposed supervisory team to ensure all parties involved are aware of the proposed changes. The form should then be submitted to the research student team with Supervisor Details Forms for the proposed team.

## 10) Request for Suspension of Registration Form

This form can be downloaded from Moodle and needs to be completed by the student if, for good reasons, they need to take time out from their studies. Please note that for periods under 3 months UAL doesn't normally accept suspension requests, as it is assumed that this time can be made up later in the course. The Request for Suspension of Registration Form needs to be supported by the student's supervisory team and an amended workplan to completion needs to be included with the form. The student should also include as much supporting evidence for their suspension request as possible to ensure the Chair of RDSC has as much information as possible to make the decision to grant the suspension or not. During the period of suspension the student does not pay fees, but will also not have access to the UAL Library and should not receive supervision.

## 11) Application for Writing-up Status Form

This form can be downloaded from Moodle and needs to be submitted by the student with a complete (digital) copy of their thesis to their Director of Studies in the first instance so the DoS can assess that:

1. This is a complete full draft
2. All the research and practice is completed
3. The student will be able to finish the thesis within the Writing Up period or by the final submission date (whichever comes first).

Once approved by the Director of Studies, the form and thesis need to be submitted to the Chair of the College Research Degrees Sub-Committee (or the Associate Dean of Research if the Chair is also the DoS) for their approval.

Students can change to Writing-up status at any time during the year, however, the signed Writing-up Status form needs to be submitted to the Research Students Team by the 20<sup>th</sup> of the month before the student would like their Writing Up period to start for the student to change to Writing Up status from the 1<sup>st</sup> of the following month (i.e. received by the 20<sup>th</sup> of March, Writing-up status from the 1<sup>st</sup> April).

## 12) Request for Extension of Registration Form

This form can be downloaded from Moodle and needs to be completed by the student if, for good reasons, they are unable to submit their thesis for examination by the final submission date (which is confirmed at Registration). The form needs to be signed by the Supervisory team and the Chair of the College Research

Degrees Sub-Committee before submission to the Secretary of the UAL Research Degrees Sub-Committee for final approval by the URDSC Chair. If the application for extension is approved, the student will have to pay fees (pro rata) for the period up to submission. Normally only one extension is allowed and for a maximum of 12 months, so students are advised to be realistic in the period of extension asked for to ensure they are able to submit by the end of the extension period.

### 13) Examination Panel Application Form

This form can be downloaded from Moodle and needs to be completed by the student's Director of Studies (with assistance from the student and the further supervisory team). The panel needs to be approved in the first instance by the ADR of the College or the Chair of College Research Degrees Sub-Committee before submission to UAL Research Degrees Sub-Committee. It is important that a completed Examination Panel Application Form with Examiner Details Forms is submitted at least 3 months before the student will submit their thesis to allow time for the UAL Research Degrees Sub-Committee to consider the panel and, if necessary, to request changes to the examination panel. The Research Students Team cannot send the thesis to anyone before the panel has been approved.

### 14) Examiner Details Form

This form can be downloaded from Moodle and needs to be completed by the proposed examiners. It is the responsibility of the supervisory team to identify a suitable examination panel and to contact the proposed examiners in good time before the student submits (it is worth discussing the examination panel at Confirmation stage to avoid the student having too much contact with someone the supervisory team consider approaching for the examination). Once the potential examiner has agreed, the Director of Studies should request they complete the Examiner Details Form and the DoS should submit this with the Examination Panel Application Form.

### 15) Submission Declaration Form

This form can be downloaded from Moodle and needs to be completed by the student in the first instance and signed by the Supervisory team before submission of the thesis to the Research Student Team. This form confirms various aspects of the student's submission such as word count of the thesis and whether there is a practice element to the thesis. It is possible for the student to submit their thesis for examination without approval from their supervisory team, though UAL does not advise any student to do this. This form is for Research Office information only and is not shared with the examination panel.

### 16) Examiner's Preliminary Report Form

This form is sent by the Research Student Team to the examination panel with the thesis with the request to complete the form at least 7 days before the date of the viva voce. On the form the examiner indicates their opinions on the thesis, the aspects of the thesis they would like to discuss in the viva and whether they are happy for the viva to go ahead. The form should be submitted to the Research Students Team member who is facilitating the viva and they will then forward it to the Chair of the Examination. The Chair compares all Preliminary Reports received before the viva and circulates them to the panel on the day of the viva. The form is not shared with the student and their supervisory team.

### 17) Examiners' Joint Report Form

This form is sent by the Research Students Team to the Chair of the Examination and is completed following the viva voce (if the viva does not go ahead because the panel considers the submitted thesis not of a high enough standard for examination then the panel completes and Examiners' Joint Report Form – No Viva). This Report needs to be completed within 5 days of the Viva and needs to be approved by the UAL Research Degrees Sub-Committee before it can be shared with the student and supervisory team. URDSC considers the clarity of the report and required amendments, fairness of the required amendments and that the report mirrors the result of the examination.

## 18) Resubmission Form

This form can be downloaded from Moodle and needs to be completed by the student and Director of Studies once amendments to the thesis are made following the viva (if applicable). The form needs to be submitted with the amended thesis to the Research Students Team.

## 19) Final Submission Form and British Library and Research Online Declaration Form

This form can be downloaded from Moodle and needs to be completed by the student once the thesis has been approved by the examiners and the degree (MPhil or PhD) can be awarded. The student is requested to submit a hard bound copy of their thesis (see [Annex 3](#) for instructions on thesis binding) and a digital copy to the Research Students Team at King's Cross and with that the completed Final Submission Form.

This form also confirms whether the student gives permission for UAL to submit a digital copy of thesis to the British Library and whether the student gives permission for UAL to publish a copy of the thesis via the UAL Research Online repository. If the student does not give permission, UAL will inform the British Library of this and Research Online will hold a copy in its repository but will not publish it online. It is possible at any time for the student to change permissions, so if you don't give permission when you submit because you are in negotiations with a publisher about publishing your thesis then you can deny permission, but if the publisher subsequently agrees that the thesis can be made public via UAL Research Online, then you should contact [researchdegrees@arts.ac.uk](mailto:researchdegrees@arts.ac.uk) and request the forms again to amend your permission.

## Annex 2      Definition of plagiarism

Plagiarism is defined as stealing another person's ideas and using them as though they were your own. These ideas may be expressed as writing, computer software or as artefacts e.g. original artwork, designs, film or CD-ROM design.

It is also plagiarism if you do not acknowledge the co-operation of another individual who works with you or gives you permission to use their work.

Plagiarism can be avoided by careful and systematic referencing of all material, text or non-text. Your supervisor will help with guidance on the correct way to acknowledge work belonging to other people. It is useful to carefully note sources as you go along to ensure that acknowledgements are not overlooked.

The University's guidance and procedures related to plagiarism are set out in the Academic Affairs Handbook.



## Annex 3 Thesis binding and library access

1. The student shall ensure that the thesis format is in accordance with the following requirements:
  - i) theses shall normally be in A4 format although the Research Degrees Sub-Committee may give permission for a thesis to be submitted in another format;
  - ii) copies of the thesis shall be presented in a permanent and legible form in print, font size at least 11pt;
  - iii) the thesis may be printed on one or both sides of the page; the paper shall be white and within the range 70 g/m<sup>2</sup> to 100 g/m<sup>2</sup>;
  - iv) the margin at the left-hand binding edge of the page shall be 40mm or more; other margins shall not be less than 15mm;
  - v) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
  - vi) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
  - vii) the title page shall give the following information (see example on the following page):
    - a) the full title of the thesis;
    - b) the full name of the author (your name);
    - c) That this is 'A Thesis submitted in partial fulfilment of the requirements for the degree of [Name of Degree] at the University of the Arts London'
    - d) the Collaborating Establishment(s), if any; and
    - e) the month and year of submission (for final submission please use submission date of first submission).
  - viii) citations must be consistent and adopt a recognised standard system, for example, Harvard (with or without footnotes), Numeric, or Running Notes.
2. The student may submit the thesis for examination either in a permanent binding or in a temporary bound form. A thesis submitted in temporary binding shall be in its final form in all respects save the binding. The thesis shall be presented in a permanent binding before the degree can be awarded. If the thesis is submitted in a temporary bound form, the student's Director of Studies shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners. For an example the format a soft bound thesis can take, please see below.
3. The permanent binding shall be as follows:
  - i) the binding shall be in dark blue or black and be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards must have sufficient rigidity to support the weight of the work when standing upright; and
  - ii) in at least 24pt type the outside front board shall bear the title of the work, the name and initials of the student, the degree, and the year of first submission; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards (see below for examples).
  - iii) the binding shall contain as an integral part of the contents all archival records of creative work.
4. The student shall additionally submit a digital copy of the thesis in the portable document format (pdf) that must be identical to the bound copy submitted for examination. A pdf copy of the final version of the thesis (a digital version of the permanent binding of the thesis) shall be submitted before the degree can be awarded. Subject to the student's agreement, the electronic version of the thesis will be placed on the University of the Arts London Research Online (UALRO) repository and the British Library EThOS through which it will be readily available online for public access. Students for whom this may cause complications in relation to third-party material, copyright and confidentiality have the right to opt out of these schemes.

Thesis Title  
By  
Full Name Student

Thesis submitted in partial fulfilment of the  
requirements for the Degree of Master/Doctor of  
Philosophy (MPhil/PhD)\*

(If applicable) In Collaboration with:

University of the Arts London  
Name of your College

Month and Year of submission (for example: October  
2017)

Examples of acceptable soft bound theses formats for first submission



Example of spine of final bound thesis

J. Bloggs

October 2017

PhD

Thesis Title

J. Bloggs

PhD  
October 2017

# Annex 4      Constitutions of research committees

## 1      University Research Committee

To formulate and monitor the implementation and operation of the research strategy across the University, and to ensure College research plans are aligned with this strategy. To assure the standards of the University's research projects and awards. To promote the creation of a sustainable and enterprising research culture for the benefit of staff, students, colleges and the University, including knowledge transfer and the commercial exploitation of intellectual property.

### Terms of Reference

#### 1.      Delegated authority to act in the following:

- to set and monitor standards for the award of research degrees.
- to set and monitor standards for the award of research degrees.
- to set and monitor standards for research ethics.
- to monitor and enhance the quality of research programmes, projects and the research infrastructure within colleges and across the University, including the research student experience.
- to develop and co-ordinate the implementation of the University's procedures relating to the management and monitoring of research projects, such as:
  - i) The Full Economic Cost methodology
  - ii) The Research Centre designation procedures
- to be responsible for policy and procedures related to the admission, progression and examination of research degree students.

#### 2.      Requirement to recommend on the following:

- to discuss and formulate research policy and strategy in the light of the external context and the University's mission for the development of the overall research environment.
- to advise Academic Planning Committee and Academic Board upon the range, quantity and appropriateness of research across the University, and the disposition of resources allocated for the purposes of research against the Medium Term Strategy, including funds for the support of research degree students.
- to develop mechanisms to support collaborative research both within the University, including Research Centres, and with other appropriate academic, institutional and business partners.
- to advise on reports received from and sent to external bodies
- to influence professorial, readership and Research Centre developments for the growth of co-ordinated university research networks

#### 3.      Monitoring responsibilities:

- to respond to HEFCE, Research Councils and other agencies as appropriate and necessary on behalf of the University.
- to monitor the use of research grant income.
- Research Degrees Sub-Committee and Research Ethics Sub-Committee.

#### 4.      To produce an annual report to Academic Board on research standards and research undertaken at the University.

**Note:** This body, its sub committees and groups have a specific responsibility for equal opportunities in so far as the issue relates to its business.

## 2 University Research Degrees Sub-Committee

### Purpose

To act on behalf of and advise the University Research Committee on all matters related to the registration, progress and examination of research degree students.

### Terms of reference

1. **Delegated authority to act on behalf of the Academic Board and/or Research Standards and Development Committee in relation to:**
  - approving the registration of research degree proposals on the recommendation of College Research Degrees Sub-Committees;
  - maintaining an overview of students' progress ensuring that the guidelines and regulations for research degrees of the University are followed;
  - considering probationary reports and confirming registration of students for the specific degrees of MPhil and PhD;
  - ensuring that the general arrangements under which the research of each student is carried out are satisfactory, and meet the requirements of the University. These arrangements are to include supervision, the provision of research training and other resources needed to enable research students to complete their research to a satisfactory standard; exercising all other responsibilities in relation to the registration of research degree students, including the extension and suspension of registrations, and the scrutiny of annual monitoring reports;
  - approving the appointment of examination teams for MPhil and PhD examinations;
  - awarding research degrees of MPhil and PhD on the basis of the recommendation of the examination team;
  - ensuring that appropriate information relating to research degrees is available to students and supervisors.
2. **Monitoring responsibilities:**
  - to monitor the growth in the numbers of research degree students, completion rates and the effectiveness of the operation of the quality assurance procedures relating to research degree students;
  - to monitor College's provision of resources for research degree students;
  - to monitor the operation of College Research Degrees Subcommittees;
  - to monitor reports from the examination team;
  - to prompt and receive reports on student feedback;
  - to monitor and receive reports on RNUAL research training.
3. **To provide an annual report to the University Research Committee**

**Note:** This body has a specific responsibility for equal opportunities in so far as the issue relates to its business.

### 3 College Research Degrees Sub-Committee

#### Purpose

To maintain an overview and advise on all matters related to research degrees within the College.

To advise on ethical aspects of research degree applications where the potential for risk of harm to researcher and participant is minimal

Based on their individual needs, Colleges may choose to incorporate the work of this Sub-Committee within the remit of the College Research Committee

#### Terms of reference

1. To advise the Pro Vice-Chancellor in relation to:

- delegated authority to act on behalf of the Academic Board and/or Research Standards and Development Committee and/or University Research Degrees Sub-Committee in relation to:
- approve the registration of research degree proposals;
- approve student applications for research ethics approvals if the Committee considers these to represent minimal ethical risk
- to advise the Pro Vice Chancellor on:
  - the suitability, appropriateness and eligibility of students to undertake a research degree at the College.
  - the proposed supervisor arrangements, taking into account the necessary subject expertise, qualification, training and issues of supervisory load.
  - the programme of work and registration of applicants, including whether the ethical aspects of individual research degree applications involving minimal risk have been fully addressed by the student.
  - the nomination of examination teams for MPhil and PhD examination.
  - applications that require approval from the Research Ethics Sub-Committee as involving more than minimal risk.
- all other matters relating to the approval of the arrangements associated with students progression.
- approval or referral of research degree students' annual reports.
- To monitor the recruitment, registration and completion rates of research degree students.
- student progress and the effectiveness of the operation of quality assurance procedures including research ethics processes.
- the use of funds to support the professional development of students.
- the use of funds to train and support supervisors, and to increase supervisor capacity within the College.
- reporting requirements to provide minutes to the College Research Committee.
- to provide a report of successful applications to register to University Research Degrees Sub-Committee.

Note 1 : This body has a specific responsibility for equal opportunities in so far as the issue relates to its business.

Note 2 : This body reports to the College Research Committee with an advisory line to the Pro Vice Chancellor.

## 4 University Research Ethics Sub-Committee

### Purpose

To consider and advise as appropriate on legal, moral and ethical issues relating to research. To ensure that the Code(s) of Practice on Ethics is established and regularly reviewed.

### Terms of Reference

1. To be responsible for:
  - The provision of an infrastructure which would facilitate the adherence to the principles of beneficence and non-maleficence, and thereby safeguard the interests of researchers, participants and those on whom the research might impact, directly or indirectly.
  - Establishing Codes of Practice on Ethics to be promulgated within the University.
  - Reviewing on a regular basis and recommending changes to the Codes of Practice on Ethics in the light of external and internal practice and developments.
  - Deciding on applications for research ethics approval.
2. To advise:
  - The University Research Committee;
  - The University Research Degrees Sub-Committee or College Research Committees, as appropriate, on legal, moral or ethical issues relating to research.
  - On any matters referred by the Chair of the University Research Committee or the Chair of Academic Board.
3. Monitoring responsibilities:
  - The Research Ethics training provided for research degree students at the University.
  - College Research Degrees Sub-Committees' and College Research Committees' operation of devolved responsibility for the approval of research considered as 'minimal risk'.
4. To report:
  - Annually to the University Research Committee and Academic Board.

**Note 1:** Staff or students, with their supervisors, may be requested to attend the Research Ethics Sub-Committee when issues relating to their research projects or research degree proposals are being discussed.

**Note 2:** This body has a specific responsibility for equal opportunities in so far as the issue relates to its business.



## Annex 5 Committee dates and deadlines 2017/18

Please send Applications for Registration and Confirmation Reports to the Secretary of your College Research Degrees Sub-Committee for inclusion in the paperwork by the necessary deadline

Deadline for paperwork	Date of Meeting
<b>Secretary: Beth Bicher</b>	
	CCW (Wednesday)
5pm on Monday, 9 October 2017	Wednesday, 18 October 2017
5pm on Monday, 13 November 2017	Wednesday, 22 November 2017
5pm on Monday, 15 January 2017	Wednesday, 24 January 2017
5pm on Monday, 26 February 2018	Wednesday, 17 March 2018
5pm on Monday, 30 April 2018	Wednesday, 9 May 2018
5pm on Monday, 2 July 2018	Wednesday, 11 July 2018
<b>Secretary: David Greene</b>	
	CSM (Thursday)
5pm on Monday, 9 October 2017	Thursday, 19 October 2017
5pm on Monday, 13 November 2017	Thursday, 23 November 2017
5pm on Monday, 15 January 2017	Thursday, 25 January 2018
5pm on Monday, 26 February 2018	Thursday, 8 March 2018
5pm on Monday, 30 April 2018	Thursday, 10 May 2018
5pm on Monday, 2 July 2018	Thursday, 12 July 2017
<b>Secretary: Emily Ruff</b>	
	LCC (Thursday)
5pm on Monday, 9 October 2017	Thursday, 19 October 2017
5pm on Monday, 13 November 2017	Thursday, 23 November 2017
5pm on Monday, 15 January 2017	Thursday, 25 January 2018
5pm on Monday, 26 February 2018	Thursday, 8 March 2018
5pm on Monday, 30 April 2018	Thursday, 10 May 2018
5pm on Monday, 2 July 2018	Thursday, 12 July 2017
<b>Secretary: Ellie Cameron-Smith</b>	
	LCF (Wednesday)
5pm on Monday, 9 October 2017	Wednesday, 18 October 2017
5pm on Monday, 13 November 2017	Wednesday, 22 November 2017
5pm on Monday, 15 January 2017	Wednesday, 24 January 2017
5pm on Monday, 26 February 2018	Wednesday, 17 March 2018
5pm on Monday, 30 April 2018	Wednesday, 9 May 2018
5pm on Monday, 2 July 2018	Wednesday, 11 July 2018
<b>Secretary: Jane Nobbs</b>	
	URDSC (Thursday)
5pm on Monday 11 September 2017	Thursday, 21 September 2017
5pm on Monday, 4 December 2017	Thursday, 14 December 2017
5pm on Monday, 12 March 2018	Thursday, 22 March 2018
5pm on Monday, 15 May 2018	Thursday, 24 May 2018
5pm on Monday, 10 September 2018	Thursday, 20 September 2018

## Annex 6 Code of Practice on Research Ethics

The University is committed to supporting good practice in research and scholarly activity; it considers it to be fundamental that research should be conducted in accordance with ethical principles. This document defines the scope of the University's Code of Practice on Research Ethics, sets out the guiding principles, and outlines the obligations and responsibilities for conducting research in an ethical manner. This document is part of the University's framework for supporting good practice in research which includes the following information:

- UAL Code of Practice on Research Ethics [this document]
  - UAL Guidance for Research Ethics Approval
  - UAL Code of Good Conduct in Research
  - Constitution and terms of reference for UAL Research Committee and Research Ethics Sub-Committee
  - UAL Health and Safety policy
  - UAL Equality and Diversity Framework
  - UAL Disciplinary Code
1. Definition of Research
    - 1.1 For the purposes of this Code of Practice, research is defined as any form of systematic, critical and/or creative enquiry that aims to contribute to a body of knowledge. It includes scholarly activity which analyses, synthesises and provides interpretations of ideas and information with the aim of contributing to the intellectual infrastructure of subjects and disciplines.
  2. Applicability of the Code of Practice
    - 2.1 This Code applies to all research undertaken under the formal auspices of the University. It applies to all research associated with the University irrespective of the source of funding or the physical location of the work. It applies to research carried out by staff and students in the course of their duties and relations with the University. Work conducted as part of professional practice carried out beyond the academy is the responsibility of the practitioner.
    - 2.2 The Code applies to pedagogic enquiry and interventions which are beyond the normal agreements for educational purposes between teacher, student and institution.
  3. Guiding Principles
    - 3.1 The guiding principles of this Code are respect for persons, justice, and beneficence; these constitute a systematic regard for the rights and interests of others in the full range of research relationships and activities.
    - 3.2 Respect for persons recognises the capacity and rights of all individuals to make their own choices and decisions. It refers to the autonomy and rights to self-determination of all human beings, acknowledges their dignity, freedom and rights. An important component of this principle is the need to provide special protection to vulnerable persons.
    - 3.3 The principle of justice obliges the researcher to distribute equally the risks and benefits of participation in research. Any risks to persons participating in research must be weighed against any potential benefits – to the participants or the researchers, and also the wider benefits to society of the knowledge gained. As with the principle of respect for persons, there is a need to protect vulnerable groups.
    - 3.4 Beneficence is the principle of doing good in the widest sense. It requires researchers to serve the interests and well-being of others. In so doing, researchers comply with the principle of neither doing, nor permitting, any foreseeable harm as a consequence of research activities. This is the principle of non-maleficence, it is the principle of doing no harm in the widest sense.
  4. Obligations and Responsibilities
    - 4.1 It is the responsibility of researchers to conduct their research in line with the guiding principles set out above. Compliance implies giving due consideration to the ethical dimensions of any research

undertaking, and this, in turn, implies that the researcher undertakes an assessment of risk in relation to these guiding principles. The University provides guidance on the assessment of risk in the UAL Guidance for Research Ethics Approval.

- 4.2 Researchers are responsible for ensuring they are familiar with the University's procedures for scrutinising, approving and monitoring research activity and for complying with them.
- 4.3 Researchers are expected to maintain the highest standards of academic integrity in conducting, publishing or exhibiting the outcomes of their research. This includes formally acknowledging the contributions and assistance of others, collaborating partners, honouring contractual agreements, copyrights, and the ownership of intellectual property and avoidance of any practice likely to mislead as to the origin, validity, novelty or ownership of what is presented.
- 4.4 Researchers must consider other rules of conduct that may apply to their research and ensure compliance. For example particular codes of practice and rules of engagement apply to work in archives, museums and galleries. Research in areas that are security sensitive must mitigate the risks to the researcher involved in accessing and/or storing and/or disseminating material that may be regarded as promoting or endorsing terrorist acts. Work in hospitals and other medical institutions requires proposals for research to be approved by an ethics committee approved by the Department of Health.
- 4.5 Research undertaken at UAL draws on a wide variety of disciplinary backgrounds. Researchers are expected to comply with the standards of professional practice, the disciplinary understandings, the ethical frameworks and guidelines which apply to the work being carried out, for example as a consequence of the methods employed, the expectations of the funding body, or as a result of the researcher's affiliation with a subject association or professional body.
- 4.6 In research involving active participants, in order to realise the guiding principles, several specific requirements are essential. The prior informed consent of a potential participant, and the requirements for this consent to be legally valid are set out in the UAL Guidance for Research Ethics Approval.
- 4.7 Where research gathers information from individual persons from which they can be identified, there is an obligation for the researcher to respect the person's privacy, rights to confidentiality and if the information is recorded in any medium as data the researcher must address data protection and comply with the Data Protection Act. Issues of confidentiality and privacy are distinct from each other and from data protection. Researchers are responsible for considering each of these in their assessment of the ethical dimensions of their research.
- 4.8 Researchers must acquaint themselves with legislation that is relevant to their research. Among the laws with general requirements are the Care Act, the Data Protection Act, the Freedom of Information Act, the Equality Act, the Computer Misuse Act, the Mental Capacity Act, the Obscene Publications Act, the Counter-Terrorism and Security Act, and legislation regarding working with participants unable to give informed consent, safeguarding children, the welfare of animals, uses of human tissue, and regulations about health and safety.
- 4.9 Contractual arrangements about the publication, dissemination, and exploitation of research including any non-disclosure agreements and intellectual property rights must be clearly set out prior to the conduct of the research.
- 4.10 The independence of research must be clear, and any conflicts of interest or partiality must be explicitly declared.

## Annex 7 Code of Practice for Supervisors and Research Students

Supervisors are responsible for the academic progress and pastoral support of their students, and for liaising with Associate Deans of Research and the Research Student Team on administrative matters.

They should provide the necessary guidance and support to enable their student(s) to successfully complete the research project within the required timescale.

Supervisory teams will consist of a Director of Studies and one or more co-supervisors. Supervisors should normally supervise no more than 6 FTE (Full-time Equivalent) students and staff should only act as Director of Studies for a normal maximum of 6 headcount of the 6 FTE (Supervisors and line managers should refer to the Guidelines on Internal Supervisor loading for more details).

### Responsibilities of Directors of Studies (first supervisors)

Supported by the co-supervisor/s the Director of Studies has the primary responsibility for the provision of supervision and guidance of the student's programme of research. This involves:

1. Establishing, in the initial supervisory meeting and in agreement with the other members of the supervisory team:
  - a framework for supervision, including arrangements for regular supervisory meetings and meetings with co-supervisors;
  - the roles and responsibilities of each member of the supervisory team;
  - the stages which the student will be expected to have completed at various points in the research (i.e. registration, confirmation);
  - the developmental needs of the students in relation to the agreed programme of research and the Joint Research Councils' Skills Statement.
2. Ensuring that the project:
  - a) can be completed within the prescribed period of study (normally: full-time PhD 3 years, MPhil 2 years; part-time PhD 5 years, MPhil 3 years);
  - b) can be completed within the period provided for by any funding awarded to the student;
  - c) complies with the Code of Practice on Research Ethics;
  - d) is suitable for the degree (MPhil/ PhD) which the student aims to undertake.
3. Giving assistance in defining the topic of research. It is important that the student and supervisors agree this at an early stage.
4. Ensuring that:
  - a) the student is aware of College, University or discipline-specific research training programmes and that s/he is required to attend and/or that (s)he meets training needs identified throughout the course of supervision.
  - b) the student's Continuing Professional Development (CPD) is identified and auctioned throughout the programme of study.
5. Ensuring with the student that documentation relating to the various stages of research is completed properly and submitted on time to the relevant parties.
6. Ensuring adequate cover is arranged if one of the supervisors is going to be absent for a period of time.

7. Adhering to the monitoring and progress reporting timetable agreed at the start of the project. This will include the registration process, annual progress reports including the annual report for confirmation and the completion of supervision record sheets as appropriate.
8. Ensuring in relation to the examination, that:
  - the thesis title is approved by the University Research Degrees Sub-Committee following registration;
  - the internal and external examiners are nominated in good time so that the examination can go ahead as soon as possible after submission of the thesis;
  - a date is arranged for the oral examination that is convenient to the examiners and the student in liaison with the Research Student Team.
9. Making available to students details of appeals regulations and the appeal procedures for research degree candidates.

### Responsibilities of the Supervisory Team (Director of Studies and Co-Supervisors)

1. Meeting regularly with the student at the intervals agreed at the start of the research programme. The normal expectation for full-time students is that at least three formal (i.e. recorded) supervisions must take place each term. During key monitoring stages of the research such as registration and confirmation more regular contact is to be expected.
2. Ensuring that any discipline/health and safety policies are brought to the attention of the student and explained.
3. Discussing any hazards involved in the research work and how these can be dealt with, and ensuring that safety procedures are followed.
4. Responding promptly and constructively to written or practical work completed, within the timescale agreed at the start of the project.
5. When a student has an urgent need for advice or guidance, the supervisor should be able to provide it within a reasonable timescale that does not delay the student's progress.
6. Drawing the student's attention to the examination regulations for the presentation and examination of theses (including any practical work) and agreeing a timetable for completion at least a year before submission.
7. If the thesis requires corrections or re-examination the supervisory team will normally continue supervision unless there are difficulties between supervisor and student.

In addition, students may reasonably expect all their supervisors to:

1. Treat them professionally.
2. Give early advice about the nature of research and the standard expected in order to achieve the degree for which the student is aiming.
3. Arrange a supervision meeting as soon as possible after enrolment. This would normally be within the first week for full-time students. For part-time students, this may take longer to arrange.
4. Ensure that the first meeting covers the areas set out in 2. above. If this is not possible, these areas should be covered in another way.
5. Provide advice on literature sources and other research resources available and provide some directed reading to facilitate discussion and form the basis of a contextual review.

6. Deal promptly and appropriately with any research problems.
7. Take an active role in introducing the student to meetings of learned societies, seminars, etc, and to other researchers or experts in the field or relevant artists and designers.
8. Where the student's own creative work forms part of the research, and when adequate notice is given, every effort should be made by the supervisor to attend exhibitions, performances etc, or visit studios as appropriate.
9. Provide advice on the publication and/or exhibition of research work and on the public presentations about the research.
10. Put the student in touch with specialists inside or outside the University where the student's work goes outside the supervisor's expertise. If appropriate, the supervisor should recommend the appointment of such specialists as internal or external supervisors or advisors.
11. Provide both encouragement and positive advice as well as criticism and negative comment as appropriate.

### Responsibilities of students

Students are expected to:

1. Work conscientiously and independently within the parameters of the guidance offered. Students should be self-directed, but should keep their supervisors informed and up to date with research work being undertaken.
2. Participate fully in College, University and discipline-specific research training programmes as appropriate.
3. Present visual and/or written material in sufficient time for comment and discussion and turn up to supervisory meetings well prepared and with a clear agenda based on previously agreed actions and emerging issues.
4. Take note of the advice from their supervisors.
5. By the end of the probationary period (post registration and pre-confirmation) students should have:
  - a) a fully defined the area of research;
  - b) become acquainted with the background knowledge required;
  - c) completed the visual research and/or literature review;
  - d) a clearly defined methodology
  - e) a provisional framework for the future progress of the research with a
  - f) a timetable for the remainder of the registered period of study.
6. Maintain progress in accordance with the timetable agreed with the supervisors at the outset and the University monitoring requirements.
7. Keep as systematic a record as possible of all experimental work that has been attempted and accomplished in the laboratory or studio or other workspace.
8. Ensure that the standard of their English is sufficient for the presentation of a thesis. Students whose first language is not English should seek advice and be responsible for utilising the help of the University's Language Centre.
9. Comply with the Codes of Conduct set out in Annexes 2 and 6.

In addition, supervisors may reasonably expect students to:

10. Have produced a substantial amount of visual and/or written work, even if only in draft form, by the end of the first year. The meaning of 'substantial' should be agreed by the supervisors and the student at the outset.
11. Inform their supervisors of other people with whom they discuss their work.
12. Discuss with their supervisors the form of guidance and type of comment that the student finds most helpful.
13. Take the initiative in raising problems or difficulties, however elementary or trivial they may seem. It is the student's as well as the supervisors' responsibility to initiate contact and raise issues.
14. Recognise that their supervisors may have many competing demands on their time. The student should hand in work in good time and give adequate notice of unscheduled meetings. The need for adequate notice also applies to requests for references from the supervisors.
15. Note that, while a student would be unwise to submit the thesis against the advice of their supervisors, it is within their rights so to do.
16. Remember that it is the student's responsibility to submit the thesis to the Research Management and Administration Office before the expiry of the registration period.
17. Be aware of the regulations for the presentation and examination of theses together with the appeals regulations and procedures.



# Annex 8 Disciplinary Code for Students

## Preamble

This code is made under Article 12.2 of the Articles of Government, approved by Academic Board on 22 June 2006. Subject to refinements, with advice from The Plain English Society.

This Disciplinary Code observes the Common Law rules of Natural Justice in accordance with the Articles of the Human Right Act 1996. However, the detailed procedural requirements of the act for civil and criminal proceedings, do not apply to the application of this code.

The code applies to all students in respect of University activities (but not in their dealings with its subsidiary companies such as London Artscom Ltd).

Adjustments to the process may be made to accommodate students defined as having disabilities under Disability Discrimination and allied legislation.

## 1 Introduction

1.1 In each College the Dean shall ensure that:

- Each student receives a copy of this Code on his/her initial enrolment and;
- Each student shall be reminded of the Code as well as the University's further policies on Equal Opportunities and Health and Safety through their induction to their course.

1.2 The following terms in this document have the meanings indicated below:

- "A Dean" refers to the member of staff responsible to the Pro Vice-Chancellor for the circulation and operation of the Code to students within each constituent College of University of the Arts, and to any member of staff formally acting for the Dean in disciplinary matters. "A Dean" also refers to members of staff who have cross-University roles and designated Dean status.
- "Senior Manager" refers to a Dean, Director or Head of Department or equivalent.
- "Staff at the level of Dean" refers to staff with managerial responsibility, directly reporting to a member of the University Management Team.
- "A friend" includes a fellow student in University of the Arts London, a representative from University of the Arts London Students' Union or a relative.
- "Duty Manager" refers to the most senior manager responsible on site, including managers responsible for student residences.
- "Conduct" refers to the day to day activities of fellow students and or University staff in teaching, learning research, social or residential environments managed by, or on behalf of the University, and to alleged gross misconduct off-site (see section 3).
- "The Code" refers to this document as a whole.

## 2 Conduct

### Overview

2.1 It shall be a breach of the code if a student:

- i) engages in any conduct which prevents, obstructs or disrupts:
  - teaching, learning or research within the University;
  - the administration of the University;
  - any member of staff from discharging his/her duties;
  - the occurrence or conduct of any lawful meeting within the University or organised by it.



- ii) obstructs or attempts to obstruct access of staff, students or members of the public entering as normally permitted any building or premises within the University's control.
- iii) commits any breach of regulations including policy relating to Health and Safety, Equal Opportunities and the use of facilities and resources.

#### Offences against the person

- iv) assaults, sexually harasses, or otherwise intimidates any fellow student, member of the University's staff or person visiting the University or engages in racist behaviour in contravention of the University's Diversity policy.

#### Offences against property

- v) misappropriates, deliberately misuses, maliciously damages, retains (without authorisation) any equipment, learning materials, furniture or fittings belonging to, or under the control of the University or the Students' Union or being the personal property of any student or member of staff.
- vi) misappropriates any funds or assets of the University or the Students' Union.

#### Trespass

- vii) enters or remains in an area from which excluded, or takes part in any trespass or unauthorised occupation of any buildings or premises owned or used by the University.

Occupation will be deemed to be unauthorised if it is carried on after reasonable notice to desist has been given or if the student has occupied a building or premises or part thereof where access by students is normally prohibited.

#### Anti-social behaviour

- viii) behaves in a disruptive or violent manner in learning and teaching environments and/or residential accommodation managed by the University.
- ix) engages in alcohol or drug misuse and/or the illegal supply of Class A or Class B drugs within the learning and teaching environment or residential accommodation owned or managed by the University.

#### Plagiarism

- x) commits, or is implicated in cheating or plagiarism in relation to an examination or assessment; or attempts to achieve any form of unfair advantage using others' work including creative artefacts, whether completed or in progress.

Such offences shall be investigated and any sanction determined according to this Code. In addition, it will be for the Board of examiners or examining body, as appropriate, or if such arrangements do not apply, the Academic Board to decide upon the standing of the candidate's result or award if already made. Additionally see Academic Affairs Handbook.

#### The use of files

- xi) invades, abuses or attempts to abuse the security, integrity or and documents privacy of any files or confidential material, whether or not subject to protection under the Data Protection Act, including computerised systems of the University or the Students' Union.

## Criminal offence

- xii) commits any criminal offence (including the infringement of copyright) or conducts himself/herself on the premises of the University in a manner that would amount to a criminal offence were it committed in a public place.

## Miscellaneous

- xiii) otherwise commits a breach of any Regulation, Rule or Code of Practice, for instance Ethics, authorised by the Court or the Academic Board.

2.2 The offences specified in 2.1 are not intended as a definitive list. Where there is doubt, the University Secretary shall decide the procedure to be followed in a particular situation, having regard to the standards of conduct implied in 2.1 generally.

## 3 Gross Misconduct

Any offence (including allegations of criminal behaviour as further detailed in section 4.4 below) in which the offender commits physical violence, malicious abuse, theft, fraud or other fundamental breach of trust or negligently endangers staff or students or visitors must be regarded as gross misconduct and may therefore lead to immediate suspension pending a disciplinary hearing and possible expulsion. Nothing in this code shall prevent a student from being suspended immediately on grounds of gross misconduct.

## 4 Action on misconduct

Immediate Action – incidents on premises under University control

4.1 Any member of staff may with good cause require a student to leave a specific room or area should a situation develop which can not after reasonable endeavours, be otherwise resolved. However, members of staff do not have the authority to bar students from University facilities and resources beyond the immediate resolution of a difficult situation.

Following a requirement to leave, the matter can only be extended into a formal continuing suspension of the student through the procedure detailed within this Disciplinary Code.

4.2 Any refusal to leave or similar escalation of the situation should be referred immediately to a member of staff at the level of Dean, or if the latter is not available, the Duty Manager for the site. The police will be called if the senior staff member present deems this appropriate.

4.3 The request to leave with summary detail of the incident leading to it, together with any refusal to leave shall be reported to the student's Dean as soon as reasonably practicable normally using the 'Student Incident Report Form' available from Student Services website or HR or USO. The Dean will then revert to the sections of this code.

Immediate Action – Alleged Criminal Behaviour and Police Involvement

- 4.4 Allegations of criminal behaviour (on or off-site) may come to staff's attention in three ways:
- i) Allegations by another member of the school / college / university community (e.g student, staff or visitor).
  - ii) Allegation by an external party (e.g neighbour, member of public).
  - iii) Report/enquiry from the Police.

In all cases, the office of the Dean or equivalent should be informed; and advice from the University Secretary and / or Dean of Students may be sought on the questions of liaison with police and informal progress respectively.

- 4.5 In cases (a) and (b), if the allegation is potentially gross misconduct, the matter should be directed to the police. That is, the person making the allegation should be advised to contact the police. Staff should consider the merits or otherwise of assisting in this, according to circumstances.
- 4.6 Once the police are involved with the alleged incident, their advice should be sought as to what further action the School / College / University might take. The relevant member of Executive Board – Pro Vice-Chancellor or Deputy Vice-Chancellor as well as the University Secretary and Dean of Students should be informed, if not already aware. Apart from suspension, it is likely that the police will require that no further investigation is undertaken, as this might damage the proper proceedings for a charge.
- 4.7 If the matter is not referred to the police or the police refer the matter back for our internal action only, it should be dealt with promptly utilising the procedures indicated in this section or section 5 below, but with an awareness of the particular problems around cases of an interpersonal nature (e.g student allegations about fellow students). In such instances, a counter allegation is often offered / made as a defence. Hence, suspension (if the police are not involved) should be used very sparingly, as a suspension of only one party leaves the School / College / University in a very vulnerable position.

## 5 Initial and extended suspension

- 5.1 Staff in the following posts have the Chancellor's authority to suspend students: Deputy Vice Chancellors, Pro Vice-Chancellors for each College, Deans, Senior Managers, Duty Managers. Initially, suspension may be imposed for up to three complete working days. A suspension imposed by a Dean or Duty Manager must be notified immediately to the Pro Vice-Chancellor where the student is registered. No further action of a disciplinary nature shall then be taken in relation to a residential issue without consulting the Pro Vice-Chancellor concerned.
- 5.2 Within three working days of their suspension, students must be sent to their registered (QL) address written confirmation (by post or email), explaining why they have been suspended and for how long. Extensions to suspension should also be communicated clearly and promptly, once the decision to extend suspension has been made.
- 5.3 Where the University have become notified that the police have become involved, proceedings may be deferred until we receive Police guidance concerning further legal action. In such cases, an explanatory meeting will be held within 72 hours to keep relevant parties informed. If the student is already suspended by the University this may be extended and the student will be notified accordingly.
- 5.4 After the initial suspension, a further period may be imposed if more time is needed to complete an investigation or if exclusion is necessary until a disciplinary hearing is held. At the beginning of the extended period of suspension the student should receive in writing a statement of the allegation(s) being investigated and confirmation of the reason for suspension. In all cases, unless the Chancellor determines otherwise, suspension shall debar the student from all university sites, premises and activities (except with express consent). However reasonable opportunity to respond to an allegation would normally be permitted and it is also recognised that special considerations could arise in relation to a student's access to his place of residence.
- 5.5 A student who has been under continuous suspension for two weeks or more may appeal to the Vice-Chancellor for the matter to be expedited unless a disciplinary hearing has been held or the date for a hearing set.

## 6 Informal and formal proceedings regarding infringements of the Code

- 6.1 All infringements of the Code shall be investigated to establish the facts. Any student against whom

an allegation has been made has the right to be accompanied by a “friend” at an investigative interview or disciplinary hearing.

6.2 Prompt and informal resolution should always be sought for minor infringements. Deans or Duty Managers will seek early resolution without further reference to this procedure. In other circumstances, following investigation the procedure should move to a formal disciplinary hearing if necessary.

6.3 Informal resolution may be undertaken in conjunction with the (Dean of Students) who will act in an advisory and consultative manner (flowchart on the website). An informal resolution will seek to rectify a problem that has arisen, but will not be designed to punish the student. Suitable informal resolution includes:

- i) Successful mediation between students, or students and staff.
- ii) Righting a wrong by paying for damage (but no fine).
- iii) Apologising to those affected by inappropriate behaviour.
- iv) Agreement to certain standards of behaviour in the future.

## 7 Mental illness

7.1 If it appears to those considering an allegation of misconduct (as described in sections 2 and 3 above) that the student in question is suffering from mental illness or mental instability, the proceedings may be adjourned for the preparation of a medical report following advice from the University’s Head of Counselling, Health and Disability.

7.2 If there is medical evidence that the student is suffering from mental illness or mental instability, those dealing with the case may suspend or terminate the proceedings, if it is felt appropriate to do so. It may be made a condition of the deferment or termination of the proceedings, or the lifting of the suspension itself, that the student seek medical treatment.

## 8 Formal resolution

A student shall be informed in writing of the allegations against him/her 10 working days in advance of any disciplinary hearing. Documentation relating to the hearing will be provided to the student no later than 2 working days before the meeting. Disciplinary hearings will usually occur no more than 15 working days after the Dean’s or Senior Manager’s investigation has been concluded. In cases involving health assessments this period may necessarily be longer.

## 9 Disciplinary Hearing Panel

9.1 The Disciplinary Hearing Panel should consist of one Pro Vice-Chancellor, or Dean (not from student’s College), one senior member of central services staff (who shall be Chair), the Student Union President, and the University Secretary’s nominated representative as clerk, none of whom should have been directly involved in interim action taken to investigate up to that date.

9.2 The panel will receive a report from the Dean of the student’s school on their investigation. The Chair will be empowered to request additional documentation and/or evidence.

9.3 Any documentation (including a tariff of sanctions) and evidence presented to the panel should be made available to the student at the earliest opportunity and no later than 2 working days ahead of the meeting.

9.4 Disciplinary hearings will normally be chaired by a Senior University manager. However, when gross misconduct has been alleged, or previous warnings have not produced a satisfactory response, or persistent infringements of the Code have occurred, the hearing will be conducted by a UMT member nominated by the Vice-Chancellor. The conduct of all disciplinary hearings should follow the standard university procedure.

## 10 Conducting Disciplinary Hearings

A record shall be kept of a disciplinary hearing, including the report of the investigation and of the action taken in consequence of the hearing. If misconduct is established, the hearing record and the detail of action taken shall be held for the duration of the student's registration at University of the Arts London. In all cases:

- i) The student must know the case against him/her and the likely sanctions should the infringement be proven.
- ii) Relevant evidence and documents must be disclosed 2 working days in advance of the hearing.
- iii) Students will be permitted to make representations and question the evidence in a manner determined by the Chair of the panel who shall be the final arbiter of the procedure to be followed at the hearing.
- iv) There is no absolute right for a student to require a witness to attend a hearing. The Chair has the discretion to allow witnesses' written statement as evidence, or to arrange for the panel to interview them separately (in camera) if he / she believes it to be in the interest of natural justice to do so. However, the more serious the allegation and the more contentious the statement the greater the presumption should be towards witness attendance.
- v) A student or staff member, or their representatives will be allowed to challenge evidence through questions for witnesses, which should formally be directed through the Chair of the Panel. Confrontational or aggressive cross-examination will not be permitted and any restrictions shall be at the sole discretion of the Chair.

### 11. Disciplinary Hearing (and Appeal) Panel Decisions

- i) In reaching a conclusion in disciplinary matters, the Chair should be satisfied that the student has done what has been alleged.
- ii) The 'test of proof' should be considered by the panel to be on a sliding scale depending on the seriousness of the allegation, with a heightened probability required, the more serious the allegation.
- iii) The panel Chair will have a casting vote.

11.1 If as a result of a disciplinary hearing the student is found to be blameworthy and further action necessary one or more of the sanctions below may be applied:

- i) an apology may be required from the student to the member of staff or other student(s) involved in the original incident;
- ii) an oral warning to be recorded on the student's file for a specified period;
- iii) a reprimand to be written on the student's file;
- iv) a written warning and/or requirement to give a written undertaking as to future conduct;
- v) payment to be made for any loss or damage caused either fully or in part;
- vi) withdrawal of registration for a period of up to 12 months;
- vii) recommend expulsion.

Except in the case of withdrawal of registration or ongoing suspension, exclusion from facilities for any significant period is not an acceptable sanction. Indeed in all cases it should be made clear at the end of a hearing when the student can and should return to college, either to collect belongings or to return to study which should be at the earliest reasonable time.

11.2 If the Chair of a disciplinary hearing recommends the student's expulsion to the Vice-Chancellor, the student will be suspended until the Vice-Chancellor has come to a decision. The Vice-Chancellor shall receive the recommendation within 3 working days of the hearing, and promptly consider all relevant factors so that a decision is made and notified in writing to the student within no more than 15 working days.

11.3 The expulsion of the student shall be reported to the Chairman of the Governors immediately.

## 12 Appeals

- 12.1 Once a student has been notified of the disciplinary panel decision he/she has 5 days to lodge an appeal. This should be done by notifying the University Secretary. A disciplinary decision cannot be appealed against more than once. The decision on the appeal shall be final. For Appeals short of expulsion, the Appeal Panel should consist of a Deputy Vice-Chancellor (Chair), nominated by the Vice-Chancellor, one Academic Dean and the University Secretary. The panel will receive all documentation supplied at the initial hearing, a statement from the chair of the panel stating the reason for their decision and representation from the student explaining why they feel the decision should be changed.
- 12.2 An appeal against expulsion may be heard by the Disciplinary Committee of the Court. In this case, the notice of the appeal must be lodged with the University Secretary.
- 12.3 Unless new evidence is presented in advance, appeals will be heard on the basis of a review of the original decision or sanction imposed. The appeal hearing should take place no later than 10 working days after the appeal has been lodged. If there is new evidence it should be submitted to the University's Secretary's Office at least 5 working days before the appeal hearing.

### Interpretation and enquiries

13. The University Secretary shall be responsible for the interpretation of this Code and any formal procedural enquiries regarding its application should be referred to the University Secretary's Office.

# Annex 9 University Appeals Procedure

## University of the Arts London Assessment Regulations University Appeals Procedures

The review of and appeals against a decision of an examination board<sup>1</sup>

### Introduction

1. The University has clear procedures for dealing with student appeals which form part of its quality assurance system and reflect current best practice. The procedures governing appeals against assessment outcomes are treated seriously without negatively affecting student rights or impartial judgement on academic progress.
2. Appeals may be submitted within the boundaries set by these regulations when a student believes he or she has a significant concern related to the assessment process.
3. University Secretary and Registrar. The Regulations and Procedures are approved by the Academic Board and managed by the Office of the University Secretary and Registrar. It is the University Secretary and Registrar who has the final responsibility for the procedures together with the authority to make adjudication upon any questions raised by a student, the Students' Union or member of staff in relation to any aspect of the procedure.
4. Students' Union. A student appellant may obtain representation from the Students' Union. The Students' Union can also advise on the operation of the procedures, or in relation to any aspect associated with an appeal.
5. Disability. Disabled students who require reasonable adjustments in order to make an appeal should contact the University Secretary and Registrar's Office directly. Reasonable adjustments will be arranged in consultation with the student and where necessary the Central Disability team, Mental Health Adviser or College Disability Officers. Students may be asked to provide a copy of their Needs Assessment Report in order to inform the process.

Full information on the University Appeals Procedure can be found on the website at <http://www.arts.ac.uk/study-at-ual/academic-regulations/complaints-and-appeals/appealing-an-exam-board-decision/>

### The Procedure

#### Stage 1: Review

Grounds for requesting review of examination board decision

6. Requests for review of an examination board decision may be made on the grounds that:
  - i) there was a material administrative error or other material irregularity in the conduct of the assessment (including accommodated assessment/reasonable adjustment for disabled students) or the application of the University's academic regulations;
  - ii) extenuating circumstances, which for valid reasons, had not been made known to the examination board which had they been referred might have led the examination board to reach a different decision;

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<sup>1</sup> Appeals may only be made against decisions that have been confirmed by an Examination Board, a Reconvened Board, a Progression Sub-Board or a Unit Sub-Board. In the case of further education courses where the final award is conferred by an external awarding body, the procedures shall apply, but the final outcome of any appeal shall be referred to the relevant awarding body by way of a recommendation.



7. Requests for review may not be based on the following:
  - i) disagreement with the examiner on the grounds of academic judgement, specifically, disagreements on the merit of individual assessments in relation to marks, grades or other measures of performance;
  - ii) requests from students enrolled at another institution on a programme or course leading to a University of the Arts London award, unless:
    - a) specific provision has been made within a collaborative agreement that those students may appeal directly to the University;
    - b) the student is also enrolled at University of the Arts London on the same programme of study. Such requests should be referred by the student to the institution concerned.
  - iii) Alleged inadequacy of supervision for Research Degree Students will not normally constitute grounds for appeal unless the student provides a valid reason for not making the issue known prior to assessment.
8. In exceptional circumstances a student may submit both a complaint and a separate appeal and include common issues in each which link the two together. Under these circumstances the complaint should be investigated and concluded within the timelines specified by the complaints procedures. The appeal will be processed and considered after the complaint has been investigated and concluded in order that any evidence uncovered through this more extended investigation can feed in to consideration of the appeal if appropriate.
9. Requests for a review of an examination board decision shall be received within 10 working days of the publication of results.
10. Requests will be submitted for consideration to the University Appeals Unit using form A1 and a full explanation of the reason for appealing must be included.
11. Following scrutiny of the request and investigation as necessary, if the University Appeals Unit considers the request for a review to be vexatious, frivolous or without substance or merit it shall have the authority to reject it summarily and inform the appellant of the decision in writing within 10 working days.
12. Following scrutiny of the request and investigation as necessary, if the University Appeals Unit decides that a request falls into any one or more of the above categories in section 7, then it shall write to the student informing the student of its decision within 10 working days of receipt.
13. The student may appeal against the University Appeals Units rejection of its request for review by writing to the University Secretary and Registrar within 10 working days. The University Secretary and Registrar may decide to overturn the University Appeals Units decision, accept the request and refer it to the Exam Board for review. If the University Secretary and Registrar upholds the University Appeals Units rejection of a request a Completion of Procedures Letter will be issued.
14. If the University Appeals Unit considers the request has sufficient and valid grounds, it shall forward the request to the Chair of the Examination Board, or for Research Degrees to the Chair of the Research Degrees Sub-Committee. The Chair shall conduct a review of the decision and decide, in the light of the review, either to confirm the original decision or to overturn it and put in place a new decision. The review should include consultation with the full board, including external examiners where appropriate. The Academic Registrar should be consulted on matters associated with the application of the University's academic regulations. The Chair should respond to the student within 10 working days of receipt.
15. If the University Appeals Unit considers that a clear administrative error has been made, the matter shall be referred to the Academic Registrar who has the authority to approve a change of exam board decision on non academic matters.



## Stage 2: Appeal

16. If the student is not satisfied with the outcome of the Stage 1 Review they may submit a Stage 2 Appeal to the University Appeals Unit within 10 working days of notification of the Stage 1 Review decision.
17. Stage 2 Appeals should be submitted to the University Appeals Unit using form A2 and a full explanation of the reason for appealing against the Stage 1 decision must be included. The student should include appropriate evidence in support of the appeal and the student should indicate the remedy that they assert is fair, reasonable and appropriate.
18. If the University Appeals Unit considers the Stage 2 Appeal to be vexatious, frivolous or without substance or merit it shall have the authority to reject it summarily and inform the appellant within 10 working days.
19. Otherwise the University Appeals Unit will request a response to the Stage 2 Appeal from the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee on Form B2. The University Appeals Unit will consider this response together with the statement from the student appellant.
20. If the University Appeals Unit considers, based on the response from the Chair, that there are no grounds for further appeal it shall reject the Stage 2 Appeal and inform the student within 10 working days.
21. If the University Appeals Unit decides to accept the Stage 2 Appeal a University Appeals Committee meeting will be convened as soon as possible.
22. The student may appeal against the University Appeals Units rejection of its Stage 2 Appeal by writing to the University Secretary and Registrar within 10 working days of notification of the decision. The University Secretary and Registrar may decide to accept the Stage 2 Appeal and convene a University Appeals Committee meeting. If the University Secretary and Registrar upholds the University Appeals Units rejection of a Stage 2 Appeal a Completion of Procedures Letter will be issued.

## The University Appeals Committee

23. The membership of the University Appeals Committee shall be approved by the University Secretary and Registrar acting in his/her sole discretion. The University Secretary and Registrar has the sole discretion to exclude any member of the committee if he/she considers it fair and reasonable so to do in all the circumstances, including but not limited to any committee member who it may be perceived has too close a personal or professional relationship with the appellant or to a member of the examination board, or members from the same department, school or other area of the University as the student submitting the appeal.
24. The University Appeals Committee will consider representations of the student appellant and the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee in deciding whether to accept or reject an appeal. The decision of the University Appeals Committee will be communicated to the student and the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee within 10 working days of the meeting.
25. If the student is not satisfied with the decision of the University Appeals Committee they may appeal in writing to the University Secretary and Registrar. This appeal must be submitted to the University Appeals Unit within 10 working days of notification of the University Appeals Committee decision. The decision of the University Secretary and Registrar is final and will be issued in the form of a Completion of Procedures Letter.

## Outcomes of the University Appeal Committee

26. The University Appeals Committee may make a decision it considers fair, reasonable and appropriate in all the circumstances of the case as follows:
  - i) That the Appeal is accepted;
  - ii) That the Appeal is deferred pending receipt of further relevant documentation
  - iii) That the Appeal is referred to Academic Board and/or the University Secretary and Registrar
  - iv) That the Appeal is rejected.
27. If the University Appeals Committee decides to accept an appeal the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee will be asked to review its original decision in line with the decision and recommendation of the UAC. The Chair will be asked to carry out this review within a specified period of time which will normally be within seven working days of notification of the UAC decision. The Chair will write to the student confirming the outcome of this review. If the student is unhappy with the outcome they may submit an appeal in writing to the University Secretary and Registrar within 10 working days. The decision of the University Secretary and Registrar is final and will be issued in the form of a Completion of Procedures Letter.
28. If the University Appeals Committee decides to reject an appeal the student may appeal against this decision to the University Secretary and Registrar within 10 working days.
29. The University Appeals Committee may also do any of the following:
  - i) Annul the previous decision of the Examination Board if it is not possible to reconvene the Board. In this event the University Appeals Committee shall refer the matter to the Academic Board. Upon receiving a referral the Vice-Chancellor shall convene an Academic Board Subgroup on Student Appeals. The Academic Board Sub-group on Student Appeals shall consider the representations of the Examination Board and the University Appeals Committee in reaching a final and binding decision on the appeal.
  - ii) In exceptional circumstances where the Examination Board is in disagreement with the decision or recommendations of the University Appeals Committee, the Chair of the Committee will refer the appeal to the Academic Board. Upon receiving a referral the Vice Chancellor shall convene an Academic Board Subgroup on Student Appeals. The Academic Board Sub-group on Student Appeals shall consider the representations of the Examination Board and the University Appeals Committee in reaching a final and binding decision on the appeal.
  - iii) Make whatever recommendations are deemed to be necessary to the assessment process to avoid a recurrence.
  - iv) For Research Degrees, request the Research Degrees Sub-Committee to appoint a new examination panel and recommend a first examination
30. Upon receipt of a Completion of Procedures Letter the student may seek adjudication from the Office of the Independent Adjudicator for Higher Education.

# Annex 10 Research Degree Registration Transfer Procedures

## 1. Scope of Procedures

These procedures apply to candidates who wish to:

- a) transfer their research degree registration to University of the Arts London from another institution; or
- b) register with University of the Arts London to complete their research degree after withdrawing from registration at another institution; or
- c) register with University of the Arts London to complete their research degree after their registration at another institution has lapsed.

## 2. Applicant Information Requirements

All candidates wishing to apply for admission to read for a research degree at University of the Arts London should be required to state whether they are, or have previously been, registered for and not completed research degree study at another institution.

Transferring candidates will be expected to register with University of the Arts London for a period of no less than one year. Candidates who have been registered for at another institution and who have not completed their research degree should be required to provide the following information:

- a) A letter from the administrative authority at the current or previous institution which provides detailed information about the candidate's research degree registration at that institution and where applicable confirms that the proposed transfer is acceptable to and supported by their institution. The details about the candidate's research degree registration must include:
  - i) the institution at which s/he is or was registered for research degree study
  - ii) the date on which s/he was registered as a research degree student at that institution
  - iii) the date of his/her confirmation (upgrade to PhD or MPhil) if passed.
  - iv) whether s/he is or was registered for full-time or part-time study
  - v) the degree for which s/he is or was registered, i.e. MPhil or PhD
  - vi) the name(s) and contact details of her/his supervisor(s) at that institution
  - vii) the title of her/his research project
  - viii) the total length of her/his registration, with the dates and reasons for any periods of suspended study
- b) A letter from the potential transfer student stating the details of why s/he wishes to transfer her/his registration to University of the Arts London from that institution
- c) A completed application form for transfer and must include:
  - i) an academic reference from the candidate's supervisor or, if more appropriate, where s/he is or was registered for research degree study.
  - ii) a detailed case which explains the basis on which the candidate has satisfied the potential supervisor(s) and the Dean of Research that s/he is in a position to successfully complete a research degree of University of the Arts London.

## 3. Terms and Conditions of Registration

Once the admission recommendation has been approved by or on behalf of the Research Degrees Sub-Committee, the candidate will be offered, and asked to accept, research degree registration on the understanding that s/he will normally be subject to a probationary period of six months for full-time students and twelve months for part-time students. At the end of this period an annual report must be submitted to the College Research Degrees Sub-Committee, following the same

monitoring processes as other students, which should include:

- i) an assessment of the student's progress since registration with University of the Arts London;
- ii) details of the formal training undertaken, including performance in any related assessment;
- iii) details of the supervision arrangements, including frequency, approximate duration of sessions and date of most recent contact;
- iv) details of any academic contributions made by the student to publications, seminars, conferences;
- v) details of the progress review undertaken by College for the annual report;
- vi) details of any concerns about the student's performance and ability to successfully complete;
- vii) a recommendation about continuing registration and the degree for which the student's registration should be confirmed;
- viii) internal supervisor(s) signature and date;
- ix) the endorsement of the the Dean of Research

#### Annex 11 – University of the Arts London Main Sites

High Holborn  
272 High Holborn  
London  
WC1V 7EY  
020 7514 6000

Camberwell College of Arts  
45-65 Peckham Rd  
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