



UNIVERSITY OF CENTRAL LANCASHIRE

**Research Student Assessment Policies
and Procedures Handbook**

Effective September 2017 to August 2018

**STUDENT REGULATIONS
AND POLICIES**

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UNIVERSITY OF CENTRAL LANCASHIRE
RESEARCH STUDENT ASSESSMENT POLICIES AND
PROCEDURES HANDBOOK

This handbook contains assessment policies and procedures and should be read in
conjunction with the Academic Regulations pertaining to
Postgraduate Research Degrees

Preface

This Handbook contains policy and procedures that underpin and carry the same authority as the Academic Regulations for Postgraduate Research Degrees and applies to provision delivered in the UK or overseas.

Any reference in this Handbook to an office holder of the University (e.g. Dean/Head of School) includes a nominee acting on behalf of that office holder.

Table of Contents

Contents

1	Policy and Procedures on Extenuating Circumstances for Research Degree Programmes and the Research Element of Professional Doctorates	6
1.1	Operational Procedures for Research Students under Examination	6
1.2	Guidance for Research Students under Examination.....	7
2	Transferring from MPhil to PhD	9
2.1	Aim of the Transfer Process	9
2.2	The Transfer Report.....	9
2.3	The Transfer Viva.....	10
2.4	Outcomes of the Transfer Viva	10
2.5	Advice and Guidance	10
3	Research Degree Examinations	11
3.1	Stages of the Examination Process	11
3.2	Reporting Extenuating Circumstances.....	12
3.3	Candidates with Disabilities	12
3.4	Video Conferencing for Research Degree Examinations	12
3.5	Outcomes of Oral Examination	12
3.6	Appeals against Examination Decisions	13
3.7	Completing Your Degree	13
3.8	Award	13
3.9	Research Student Exam Checklist	13
4	The Preparation and Presentation of Research Theses	14
4.1	Paper Quality and Typographical Detail.....	14
4.2	Pagination	14
4.3	Preliminaries	14
4.4	Preparation of Text.....	15
4.5	Text	16
4.6	Diagrams, Maps, Illustrations, Computer Printouts, Published Papers, Tables.....	16
4.7	End Matter.....	17
4.8	Cover and Binding.....	17
4.9	Length of Thesis.....	18
4.10	Bibliographical Lists of Theses	18
4.11	British Standards	19
4.12	Thesis Production	19
4.13	Further Reading	19
5	Video Conferencing Procedures for Research Degree Examinations	21
5.1	Basis for requests	21
5.2	Procedures Prior to the Oral examination	22
5.3	Procedures for the Oral Examination.....	22
5.4	Responsibilities for Video Conferencing	22
5.5	Appeals	233
6	Policy for Interruptions to Study for Research Students.....	24
6.1	Introduction	24

6.2 Principles Governing Interruptions to Study	24
6.3 Policy for Submitting Applications for Interruptions to Study	25
6.4 Policy for Applications for Maternity, Adoption, and Paternity Leave	28
6.5 Policy for Applications for Authorised Interruption to Study During the Period Permitted for Corrections to the Thesis (Post Oral Examination Period)	29
6.6 Interruption for research internship or related professional development programme.....	29
7 Unfair Means to Enhance Performance - Regulations and Procedures for Research Programmes and the Research Element of Professional Doctorates	30
7.1 Plagiarism	30
7.2 Procedure Following an Allegation of Unfair Means	31
8 Policy for Exclusion of a Student from a Research Degree Programme during an Academic Session for Academic Reasons	33
8.1 Procedure for the Exclusion of Research Students during an Academic Session	33
8.2 Stage 1	33
8.3 Stage 2	33
8.4 Stage 3	34
8.5 Applications further to Stage 2	34
8.6 Applications further to Stage 3	34
8.7 Supplementary information	35
8.8 Exclusion and the Annual Assessment of Progress Exercise.....	35
9 Appeals Against Research Degree Progression and Examination Decisions	36
9.1 Principles	36
9.2 Status of a Student during an Appeal.....	36
9.3 Students Studying Off-Campus Outside the UK or at Collaborating or Partner Colleges in the UK or Overseas	36
9.4 Persons Permitted to Accompany the Student during the Appeal Process	36
9.5 Allegations of Unfair Discrimination.....	36
9.6 Appeals Against Progression Decisions.....	36
9.7 Appeals against Examination Decisions	39
10. Policy on Proof-reading for Research Degree Programmes and the Research Element of Professional Doctorate Programmes	42
10.1 Principles	42
10.2 Engagement of third party proof-reading services	42
10.3 Unfair Means to Enhance Performance	42
10.4 Permitted assistance and advice.....	42
10.5 Non-permissible assistance and advice	42
10.6 Method for third party advice	43
11. Policy on Conflicts of Interest in Supervision Examination and Administration of Research Degrees	44
11.1 Purpose	44
11.2 Types of relationships where of conflict of interest arise.....	44
11.3 Perceived conflicts of interest and damage to the University's reputation	44
11.4 Disclosure	44
11.5 Conflicts of interest which arise after appointment.....	45
11.6 Remedial Action	45
11.7 Mitigating circumstances	45
11 Appendix 1: Examples of Conflicts of Interest.....	45

11 Appendix 2: Definitions of terms.....	47
Appendix 1: Research Student Progress File.....	48
RESEARCH STUDENT PROGRESS FILE	49
Appendix 2: Annual Assessment of Progress Exercise: Forms.....	62
Appendix 3: Request to use Video Conferencing at Oral Examination	73
Appendix 4: Student Declaration Form	76
Appendix 5: Guidance Notes for Research Students depositing theses (e-thesis) with Central Lancashire Online Knowledge (CLoK), the Institutional Repository for UCLan	77

1 Policy and Procedures on Extenuating Circumstances for Research Degree Programmes and the Research Element of Professional Doctorates

1.1 Operational Procedures for Research Students under Examination

The scheme for reporting extenuating circumstances to examiners is intended to provide a common mechanism for all research students. The onus for reporting and corroborating extenuating circumstances lies with the student whilst the examiners must properly consider all valid submissions. The scheme is not intended to supersede normal requests for Authorised Interruptions to Study during the programme which should be dealt with by the appropriate Faculty Director of Research and Innovation (see Section 6 of this Handbook).

1.1.1 Initial Notification (prior to or at the time of oral examination)

- Student prepares a written submission and attaches documentary evidence such as medical certificates.
- Written submission is delivered by the student marked confidential to the Research Student Registry.
- The Research Student Registry logs receipt of the extenuating circumstances.
- The Research Student Registry notifies the examiners.
- A secure confidential file is maintained and made available to the Chair of the Research Degrees Board or University Research & Innovation Committee on request.

1.1.2 Notification following oral examination

Notification of extenuating circumstances following an oral examination should be referred to the Chair of the Research Degrees Board for consideration whether to disseminate the information to the examiners if it was felt that they would have made a difference to the outcome of the oral examination.

1.1.3 Confidentiality

- Students have the right to report their circumstances in confidence to a nominated member of staff not connected with their research degree. Often this will be a student counsellor in Student Support and Wellbeing or staff in the Student Union Advice Centre.
- Counsellors will provide corroborating evidence for students indicating that the student has been attending counselling, the date of first attendance and the number of consultations. Where possible a counsellor will indicate their professional opinion as to whether the circumstances are likely to have affected a student's performance at his/her oral examination. Counsellors are not able, however, to give details about the consultations themselves and it is the student's responsibility to make the nature of the circumstances known to the examiners via the Research Student Registry in their individual submission.
- Students must be aware that strict confidentiality could affect the examiners' ability to take full account of the extenuating circumstances in their considerations. All students should be encouraged to allow information to be shared at least with the Chair of the Research Degrees Board.
- Examiners must be satisfied that, in their judgement, the circumstances submitted and evidenced justify any action taken.

1.1.4 Timescales

Students should notify the Research Student Registry of any extenuating circumstances at the earliest possible date and no later than three months from the onset of such extenuating circumstances. Notification of extenuating circumstances after the end of that academic year will not be taken into account.

1.1.5 Responsibility of Examiners

Extenuating circumstances will be taken into consideration as appropriate in the determination of the performance at the oral examination and the outcome. Where notification is submitted after an oral examination, examiners may be asked to reconsider their recommendation if the Chair of the Research Degrees Board feels it necessary. Examiners have the power to suspend an oral examination on notification of extenuating circumstances on the day of the examination if they feel it is necessary.

1.1.6 Guidance to Research Students

Guidance notes concerning extenuating circumstances have been drawn up for the benefit of students highlighting the purpose of the provisions and the courses of action available to examiners. In particular, the notes make students aware of:

- The requirement for corroboration.
- The need to demonstrate that they have met the award criteria as set out in the Research Regulations in order to defend a thesis irrespective of any extenuating circumstances submitted.
- The requirement for examiners to have access to complete information in order to properly exercise academic judgement.
- The need to inform supervisors prior to submission of problems which require action prior to a student's oral examination.
- The need to submit extenuating circumstances at the earliest opportunity.

1.2 Guidance for Research Students under Examination

1.2.1 What are extenuating circumstances?

'Extenuating Circumstances' is a phrase which refers to **serious and exceptional factors** outside your control which may adversely affect your performance at your oral examination. Examples are illness, accidents or serious family problems. Normally extenuating circumstances will relate to a change in your circumstances since you submitted and which may have had a significant adverse effect at your oral examination. Everyday occurrences such as colds or known conditions such as hay fever will not qualify unless the effects are unusually severe.

1.2.2 Should I be using these procedures?

If you feel that you have extenuating circumstances which you wish to make your examiners aware of you must report this to the Research Student Registry at the earliest possible opportunity. Where justified, examiners will make every effort to accommodate your circumstances so that you are not disadvantaged during your oral examination. Claims for extenuating circumstances are only for the notification of circumstances which have not previously been taken into account through approval of authorised interruptions of study during your research degree programme.

A disability or learning difficulty does not constitute an extenuating circumstance. Students requiring special arrangements in relation to their oral examination (e.g. Dyslexia, Physical Disability) should use the specific procedures operated through Student Support and Wellbeing.

1.2.3 When and how should you report extenuating circumstances?

Where you have been advised or where you feel you should make a case for extenuating circumstances to your examiners you should make a submission so that your details can be appropriately considered.

1.2.4. What form should your submission take?

- Give a plain account of relevant factors which may affect or may have affected your performance at your oral examination. Detailed personal information is not required unless you feel it is relevant but you must give sufficient information to explain what has happened to you and in what way you feel this impacts on your academic performance in the oral examination.
- Provide evidence to support your account. This can take the form of doctor's certificates, a report from a student counsellor or a hospital appointment card for example. You should note that unsubstantiated accounts cannot be given any weight if some form of professional corroboration could be expected. Normally only original documentation is accepted.
- Ensure corroborative evidence is collected during the period to which your circumstances relate.
- Post-dated corroborative evidence is of limited value and will not normally be taken into account especially if it is felt that evidence could have been collected at the time. For example, if you feel that your performance at your oral examination has been adversely affected, it is expected that you would obtain a doctor's note at the time to verify the illness and that you were affected by the illness on the day of the oral examination. A note from a doctor who did not see you at the time and written some days or weeks after the event is not generally acceptable.
- Once you have written your account and collected your corroborative evidence you should enclose everything in a sealed envelope and submit this to the Research Student Registry immediately.

1.2.5 What action can examiners take?

Where extenuating circumstances are submitted these will be reported to the examiners for consideration. If the circumstances are held to be valid, discretion may be operated in a number of ways. The following are examples of action that may be taken:

- To suspend the oral examination and reschedule it for a later date.
- To allow a further oral examination.
- To provide an alternative form of examination from the original where this is felt appropriate to individual circumstances.

Examiners may also take the view, having considered all the extenuating circumstances that the case is not relevant to your academic performance and that discretion should not be operated. In such instances student performance will be assessed purely on the thesis and the oral examination. This may result in a fail recommendation.

1.2.6 Confidentiality

It is understood that the circumstances surrounding extenuating circumstances can sometimes be very sensitive and that students may not wish the details of their case to be widely known or discussed. In such cases students may have sought confidential counselling either within or outside the University. Where strict confidentiality is requested this will of course be respected but you should be aware that, in the absence of specific information, examiners will be limited in the action they can take. However, you are encouraged to approach your supervisor for advice and guidance in determining whether you wish your case to remain strictly confidential you should bear in mind the following:

The proceedings of an oral examination and the discussion of individual students are confidential to the Research Student Registry and examining team and occasionally the Chair of the Research Degrees Board or Chair of the University Research and Innovation Committee if necessary. Information disclosed during these meetings may not be discussed outside the meeting or with third parties.

The role of examiners in the consideration of extenuating circumstances is to determine whether those circumstances are likely to have affected your academic performance and, if so, to determine what action, if any, can be taken to offset this. It is not possible for examiners to make proper judgements without specific information. The maintenance of strict confidentiality is likely therefore to mean that examiners will be less able to take any account of your case. In very sensitive cases, you may opt to disclose information only to the Chair of the Research Degrees Board or University Research and Innovation Committee and ask that details are not disclosed to other members. You are strongly encouraged to adopt this approach if you are unwilling for good reason to discuss information more widely and you wish to ensure examiners are able to give your case proper consideration.

1.2.7 Checklist for the submission of extenuating circumstances

- Have you notified the Research Student Registry about any problems since submission of your thesis? Are you satisfied that you have a valid case to make?
- Make out your case for the consideration of extenuating circumstances clearly. Be specific about any problems you have had and particularly about undertaking your oral examination. Give dates to indicate the period covered by extenuating circumstances.
- Ensure that you have corroborative evidence to support your case provided by someone who is in a position to verify your circumstances. (You should enclose corroborative evidence with your submission wherever possible. It is your responsibility to ensure corroboration is provided and you are strongly advised not to rely on direct submission by a third party).
- Place all documentation in a sealed envelope. And submit the sealed envelope to the Research Student Registry as soon as possible. Wherever possible you should do this personally. You will be given a receipt.

1.2.8 Further advice

If you need further advice you may find it helpful to contact Student Support and Wellbeing or the Students' Union Welfare Officer.

1.2.9 Appeal

If you feel that the examiners have not given due consideration to your extenuating circumstances you may appeal in accordance with the Appeals Procedure at section 9.

2 Transferring from MPhil to PhD

2.1 Aim of the Transfer Process

The aim of the transfer process is to establish whether you have produced work of sufficient quantity and quality to suggest that you can achieve PhD standard. The main criterion for this is the ability to produce work that makes an original contribution to knowledge. There are three elements to transfer:

A: Written Transfer Report from student (approximately 3000 – 6000 words) containing an Abstract (approximately 400-500 words) and summarising the work so far, the intended further work, and detailing the original contribution to PhD level. At least 1500 words of the report should be devoted to contextualisation and the assessment of wider implications;

B: Written report from supervisors on progress made (around 500 words). Supervisors are asked to comment on the approved programme of research, on the student's individual training programme, and the evidence for work at PhD standard.

C: Transfer Viva by a Panel

2.2 The Transfer Report

Your written transfer report is intended to show that you can summarise work done so far and articulate its significance, and help the Referee to interpret a (hopefully) large body of draft writing in a time-effective way.

You are required to write an abstract and a longer summary of your progress. You should meet with your supervisory team to discuss your progress and they will advise you on your transfer report. The 'abstract' is a summary of your study so far and should provide members of the committee with a succinct overview of what you have achieved so far, and in particular what original contribution to knowledge will be made by your work. The report is intended to be a useful exercise in itself – it will help you take stock of your work, reflect on its significance, and focus clearly on what you need to do to complete.

The guidelines below indicate the points you should address in your abstract and your report, and provide a possible way of structuring them. If you depart from the structure because it suits the nature of your project better, make sure that you nonetheless address the main points given.

2.2.1 Abstract:

1. Set the scene – background to your research. (*Current views on ... / Literature reviewed so far shows that ..., In the past it was thought that... , Currently people assume that*)
2. Aims of your study (*what are your research questions?*)
3. Methodology (*what have you done? what kind of data? How collected? How analysed?*)
4. Summarise preliminary results (*what have you found? what issues/questions have been raised?*)
5. Summarise preliminary conclusions and relate them to (1). (*how do your results match up with what has previously been assumed? What is new about what you have found?*)
6. What remains to be done? (*Further data collection/analysis?*)

2.2.2 Transfer Report:

Construct your report around the following points (not necessarily in the order presented here). Make sure you have these in your report:

1. State the aims of the research project
2. Contextualise your project. What is the background to it?
3. Describe your methodological approach?
4. Outline your results so far.
5. Give the overall plan of your thesis (provisional table of contents). Summarise what you have found/ written so far (either chapter by chapter, or overall).
6. Discuss what is new about what you have found? Comment on how your findings relate to the original context – do they reinforce current views or do they suggest that those views may have to be revised? What are the implications of your findings?
7. What needs to be done to complete the thesis?

Your Referee and the rest of your Transfer Panel will be asked to pay particular attention to the element of originality in your work. Originality can be defined in a number of ways: these can include challenging, extending or otherwise affecting existing theoretical frameworks or assumptions. It can also involve applying existing

methodologies in an original way (often cross-disciplinary), synthesising information in an original way or testing existing knowledge in an original way. At least 1500 words of your report should be devoted to the contextualisation of your study and the implications of your findings.

2.3 The Transfer Viva

The Transfer Panel will usually consist of the Referee, your Director of Studies (or second supervisor) and your Research Degrees Tutor. The Transfer Panel will be asked to provide a short narrative report to address the following criteria:

- ✓ A brief summary of the student's presentation;
- ✓ A brief summary of the viva examination itself;
- ✓ Whether the presentation of the student's research was satisfactory;
- ✓ Whether the Abstract was satisfactory.
- ✓ Whether the quality and quantity of work produced was sufficient to indicate that PhD could be achieved;
- ✓ Whether the level of academic writing and standard of presentation was suitable for doctoral work;
- ✓ Whether there was likely to be an original independent and significant contribution to knowledge and whether this has been clearly articulated in the transfer report;
- ✓ Whether there was evidence of satisfactory progress with the project and that the PhD can be delivered within the published timescales;
- ✓ Whether there has been satisfactory progress with the programme of related studies and whether the student has acquired the appropriate research and other skills to be able to deliver at PhD.
- ✓ To comment on any issues other than academic probity which are of concern and may impact on the programme and which have not been addressed during the review process.

The Panel will be assessing whether you have made sufficient progress in terms of quantity to complete the PhD within the registration period (full-time students are expected to submit after three years; part-time students after six years) but also whether you understand and are able to articulate the expected element of originality in the work, including practice/performance elements. In other words, the way in which the specific study contributes in an original way to existing theoretical frameworks, widespread assumptions etc.

2.4 Outcomes of the Transfer Viva

The Panel will decide whether you have reached a quality threshold to be allowed to progress to PhD, or whether further work is required, and will make a recommendation to the Research Degrees Board. You will receive written confirmation of the decision agreed by the Research Degrees Board.

If the Panel identifies **minor issues**, these may be recommended to you and the Panel will decide whether or not these must be completed before Transfer can be recommended.

If the Panel identifies **major issues**, you will be given an opportunity to reapply for Transfer and a new deadline will be set.

Students are entitled to appeal against the decision of the Research Degrees Board and are encouraged to consult the Appeals Procedure in the [Assessment Handbook](#).

Students who successfully transfer between April and June will only be required to undertake a 'light touch' Annual Progression Monitoring that year, to check that progress remains satisfactory and that the support arrangements remain appropriate, so that the Research Degrees Board can be assured that you remain on track for timely completion.

2.5 Advice and Guidance

If you need advice and guidance about any aspect of the Transfer process, please consult your supervisory team in the first instance or your Research Degree Tutor. Advice on the process is available from your Key Admin Contact in the Research Student Registry.

3 Research Degree Examinations

3.1 Stages of the Examination Process

Examinations of research degrees normally consist of two parts:

- Submission and a preliminary assessment of the thesis;
- An oral examination: this includes a defence of the thesis, the programme of work and the field of study in which the programme lies.

For some projects there may be an additional examination of practice-based materials.

3.1.1 Examination Arrangements

- Your examination arrangements should be in place at least 4 months before your intended submission date.
- It is the responsibility of the Dean/Head of School to propose the examiners for you. However, it is likely in determining the examining team the Dean/Head of School will seek support from the supervisory team on locating suitable examiners.
- You should take no part in the examination arrangements or have any influence in the appointment of examiners.
- If you are also a member of staff at the University or a partner college you must have 2 external examiners.
- Upon approval of examination arrangements, the internal examiner is requested to set a provisional oral examination date in accordance with the intended submission date. Once you have submitted your thesis the oral examination date will be confirmed formally.

3.1.2 Submission

- When examination arrangements have been approved, you are able to submit your thesis to the Research Student Registry for examination. Each examiner will require a bound copy and it is recommended you produce a copy for yourself and your Director of Studies. The thesis should be formatted and bound within the guidelines in this Handbook. You must also submit a pdf version of your thesis to the Research Student Registry at the same time as you submit your bound copies.
- Please note: The title on the thesis must be the same as the one approved by the Research Degrees Board.

3.1.3 After Submission

- The thesis is sent to the appointed examiners and the internal examiner will arrange the date of the oral examination or confirm the provisional oral examination date if one has already been arranged. An oral examination should normally take place within 2 months approximately of submission but this can vary especially during the summer period. The Research Student Registry will formally notify you at least 2 to 3 weeks in advance of the oral examination date.
- Please note: It is expected that you will make yourself available unless there are commitments which cannot be cancelled e.g.: job interview, hospital appointment. If you are aware of any dates you may not be available, the Research Student Registry should be notified without delay.

3.1.4 Pre-Exam Briefing

- If you have not previously attended a pre-exam briefing offered by the Research Student Registry, it is strongly recommended that you book in on a session prior to your oral examination by emailing researchexams@uclan.ac.uk. Details can also be provided by contacting the Research Student Registry. It is also strongly recommended that you also arrange a mock oral examination in your School.

3.1.5 The Oral Examination

At the beginning of the oral examination the internal examiner will:

- introduce the examiners;
- check if you wish to have your supervisor attend the oral examination. (Note: the supervisor may not participate in the discussion and must withdraw prior to the examiners' deliberations on the outcome.);
- possibly give you an estimate of the expected length and format of the examination;
- advise you that any 'comfort break' during the examination will need to be appropriately accompanied;
- check whether there are any extenuating circumstances (not previously notified) which may affect your

performance and which you wish to be taken into account.

If you were to present the examiners with a previously undisclosed disability the examiners may wish to seek advice from the Research Student Registry before proceeding with the oral examination.

At the end of the examination the examiners should give you the opportunity to add any material points to the answers that you have already provided.

3.1.6 After The Oral Examination

Prior to the examiners reaching a decision regarding the outcome of the oral examination, your supervisor, (if present) will be directed to withdraw. Upon reaching a recommendation, you (and your supervisor) will be informed provisionally. The official recommendation (and list of corrections/guidance notes if applicable) will be sent to you by the Research Student Registry, usually within a week.

3.2 Reporting Extenuating Circumstances

If you feel that you have extenuating circumstances which you wish to make your examiners aware of you must report this to the Research Student Registry at the earliest possible opportunity. Where justified, examiners will make every effort to accommodate your circumstances so that you are not disadvantaged during your oral examination. (See Section 1 of this Handbook)

3.3 Candidates with Disabilities

Notification of special requirements should have been given at the time examination arrangements were set. The Disability Advisors have procedures and you must ensure that you have contacted the service if you have a disability.

3.4 Video Conferencing for Research Degree Examinations

Video conferencing for research degree examinations may be permitted under certain circumstances. This must be authorised following a declaration of extraordinary circumstances, (see Appendix 3 of this Handbook).

3.5 Outcomes of Oral Examination

You should familiarise yourself with the Research Degree Regulations on the outcomes of first examination and re-examination. You may be recommended for award outright, with no amendments to be made to the thesis. If you have corrections/revisions to complete, you will be given timescales for completion of these in your letter confirming the outcome of your oral examination.

The definitions of research degree outcomes for corrections are as follows:

Minor amendments

Minor amendments, including typographical, formatting or grammatical errors, should not include substantial changes or rewriting of the thesis. Taking into account the volume of minor corrections and revisions the Examiners should determine the length of time to be allowed for the minor amendments up to a maximum of three months.

The internal examiner is responsible for checking and approving any minor amendments.

Major Revisions (for MPhils, PhDs and MDs and MChs only)

Major revisions are matters which are in excess of minor amendments, but not, in the opinion of the examiners, sufficient to require the student to revise and resubmit. Major revisions may involve limited additional work and rewriting of sections. Major revisions must be completed within a period of three to a maximum of six months from the date of the latest part of the examination. The internal examiner and at least one external examiner (if 2 external examiners) will be responsible for checking and approving any major revisions. Following submission of major revisions, the examiners may then recommend award or further minor amendments which should be completed within a maximum of 4 weeks.

Re-examination

Re-examination indicates that the student has not yet satisfied the examiners that the level of the award for which the thesis was submitted has been reached. Substantial rewriting is required to make the thesis meet the required standard. It may involve substantial rewriting of sections; the introduction of new material; further research; further analysis of the material or further developments of the arguments.

The examiners should ensure that the student is explicitly informed that they have not reached the standard for the award and where the examination is for the award of PhD an indication of whether the MPhil standard has been met should be given.

The examiners should indicate the scope of the work required to the thesis. The minimum length of time allowed for a resubmission is 6 months and the maximum is 12 months in the case of MPhil, PhDs, MChs and MDs. The minimum time allowed is 3 months and the maximum is 6 months for MA, MSc or LLM (by Research) degrees.

Examiners will also confirm whether a further oral examination is required.

Students are strongly advised to contact their supervisors for support and guidance. They should not attempt to approach examiners directly regarding their revisions.

3.6 Appeals against Examination Decisions

If you wish to appeal against the examiners' decision you should refer to the Appeals Process.

3.7 Completing Your Degree

There are a number of requirements which need to be met before a research degree can be conferred:

- 3.7.1** Once examiners have given notification of recommendation for the degree, students are required to supply two loose copies of their thesis for final hard-binding for the student and their Director of Studies. A third volume will be required where there is a collaborating institution for the project. The Research Student Registry sends these copies for binding in red buckram.
- 3.7.2** Students are also required to deposit an electronic copy of their thesis with the UCLan Research Repository – CLoK. This should be submitted in the first instance to the Research Student Registry with a Thesis submission form. Details for submitting electronic theses and binding arrangements are available from the Research Student Registry by emailing researchexams@uclan.ac.uk (See Appendix 5 of this Handbook).

For further information about CLoK see <http://clock.uclan.ac.uk/> which includes information about the repository policies, Copyright and Open Access Archiving and information about the Deposit process, including a Frequently Asked Questions section.

3.8 Award

Your recommendation for award will then be submitted to the Research and Innovation Committee for conferment on behalf of the Academic Board, after which you will receive a formal letter of conferment.

3.9 Research Student Exam Checklist

- Ensure you have examiners appointed prior to submission
- Ensure title of thesis is the same as that approved in examination arrangements and thesis is formatted and bound (see Section 10 of this Handbook)
- Ensure that the thesis is submitted no later than your lapse date
- Inform the Research Student Registry of any dates you are unavailable for an oral examination
- Attend a pre-exam briefing and have a mock oral examination
- Submit any extenuating circumstances or disability which the examiners need to be aware of
- Following the oral examination, if amendments are required, consult your supervisors and ensure you complete the amendments as specified in the letter sent by the Research Student Registry
- Submit any amendments/revisions as instructed no later than the due date
- Upon approval of amendments/revisions by examiner(s) provide the Research Student Registry with requisite unbound copies of thesis for final hard-binding and electronic copy of your thesis (pdf format).
- Collect bound copy of your thesis from the Research Student Registry.

4 The Preparation and Presentation of Research Theses

4.1 Paper Quality and Typographical Detail

4.1.1 Methods of Production

Theses shall be presented in a permanent and legible form in typescript or print. Characters shall be not less than 8 pt (2.75 mm) depending on the font used. Script should be of even quality, with clear black characters. Where copies are produced by any photocopying processes, these must be of a permanent nature.

4.1.2 Paper

Theses are to be in A4 format and presented in English. The Research Degrees Board may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format. The thesis should normally be printed on one side of the paper. However, for final hard binding the thesis may be printed double-sided.

4.1.3 Layout

Margins at the binding edge (left) shall be 40 mm and other margins 20 mm. Double or one-and-a-half spacing shall be used in typescript except for indented quotations or footnotes where single spacing may be used.

4.2 Pagination

4.2.1 Page numbering

Pages shall be numbered consecutively through the main text including photographs and/or diagrams which are included as whole pages. Such photographs and/or diagrams shall be firmly fixed in place and, where appropriate, indexed separately by reference to the facing page. Refer to former BS 4821 for detailed issues relating to numbering, indented quotations, footnotes and figure captions.

4.2.2 Position of page numbers

Page numbers shall be located centrally at the bottom of the page and no more 20 mm above the edge of the page. The pagination of appendices shall be continuous within each appendix, but distinct from the main text.

4.2.3 Multi-volume theses

If there is more than one volume, each volume shall carry its own pagination.

4.3 Preliminaries

4.3.1 Published material

The student is free to publish material in advance of the thesis but reference must be made to any such work in the thesis. Copies of published material may be either bound in with the thesis or placed in an adequately secured pocket at the end of the thesis. It is recommended that a list of such material be appended to the thesis.

4.3.2 Permission to copy

A declaration giving permission for reproduction may be made to grant powers of discretion to the depository library to allow the thesis to be copied in whole or in part without further reference to the author. This permission covers only single copies made for study purposes subject to normal conditions of acknowledgement.

4.3.3 Collaborative Project

Where a student's research programme is part of a collaborative group project, the thesis must indicate clearly the student's individual contribution and the extent of the collaboration in the title page.

4.4 Preparation of Text

4.4.1 Title Page

The title page of every volume shall give the following information in the order listed:

- i. the full title of the thesis and sub-title if any;
- ii. the total number of volumes if more than one and the number of the particular volume;
- iii. the full name of the author, followed, if desired, by any qualifications and distinctions;
- iv. the award for which the thesis is submitted in partial fulfilment of;
- v. that the degree is awarded by the University of Central Lancashire;
- vi. the collaborating establishment, if any;
- vii. the month and year of the oral examination. (In the case of a resubmission it would be the month and year of resubmission).

A sample of a title page is available from the Research Student Registry or can be found on the RSR's webpages on the Student Portal, in the document library under T for Thesis title page.

4.4.2 Title

The title of the thesis is set when examination arrangements are applied for and approved by the Research Degrees Board. The title should describe the content of the thesis accurately and concisely. (It should be noted, however, that once examination arrangements have been approved by the Research Degrees Board, any changes to the title must be approved by the Chair of the Research Degrees Board.)

4.4.3 Student Declaration

A student declaration should be included in the thesis stating if any of the material has been submitted for another award or if the student has had concurrent registration for two or more academic awards. The declaration should precede the abstract. A sample of the declaration is included in Appendix 4 of this Handbook and is available from the Research Student Registry and can be found on the web in the document library.

4.4.4 Abstract

The abstract (of approximately 300 words) shall immediately follow the declaration page and should provide a synopsis of the thesis stating the nature and scope of the work undertaken and, for MPhil, MD (Res), Professional Doctorates and PhD students in particular, state the contribution made to the knowledge of the subject treated.

4.4.5 Table of contents

The table of contents shall immediately follow the abstract. It shall list in sequence, with page numbers, all relevant subdivisions of the thesis including the title of chapter, sections and subsections, as appropriate; the list of references; the bibliography (if any); the list of abbreviations and other functional parts of the whole thesis; any appendices; the index (if provided).

If a thesis comprises more than one volume, the contents of the whole thesis shall be shown in the first volume and the contents of the subsequent volumes in a separate contents lists in the appropriate volume.

4.4.6 List of tables and illustrative material

The lists of tables and illustrations shall follow the table of contents and shall list all tables, photographs, diagrams, etc, in the order in which they occur in the text.

4.4.7 Acknowledgements

Any acknowledgements shall be on the page following the table of contents.

4.4.8 Abbreviations

Any abbreviations should be those in normal use; where necessary a key to the abbreviations should be provided. For an abbreviation not in common use, the term shall be given in full in the first instance followed by the abbreviation in brackets.

4.5 Text

4.5.1 Introduction

The first chapter of the thesis shall be preceded by an introduction, so headed, defining the relation of the thesis to other work in the same field and referring appropriately to any findings, propositions, or new discoveries contained in the thesis and to any important points about sources or treatment.

4.5.2 Chapters and sections

These shall be divided as appropriate into chapters, sections and sub-sections. The system of headings shall be consistent and should provide a clear indication of change in content, emphasis, and other features which occur at each stage of the work.

4.5.3 Headings

The headings recommended are:

- i. Main headings, which should be used for chapters or sections and should be in full capitals.
- ii. Subsidiary headings, which should be used for sub-sections consisting of associated paragraphs, should be above the line of the text and should use initial capitals.

4.5.4 Section numbering

If section numbering is used it should not go beyond sub-sections. The alphabet or Arabic numerals may be used for lists. The system of notation of appendices shall be consistent with but independent of that used for chapters and sections of the main text.

4.5.5 Note numbering

References cited in the text should be identified by numbers, typed as superscripts or, if on line, in round brackets, immediately following the relevant work or phrase in the text. Different sequences shall be used for numbering end notes and references e.g. letter for the former and numbers for the latter. Footnotes, if used, should use other symbols.

4.6 Diagrams, Maps, Illustrations, Computer Printouts, Published Papers, Tables

4.6.1 Binding

Whenever practicable diagrams, maps, illustrations, published papers and tables shall have a binding margin of at least 40 mm and should, if possible, be bound in the thesis near the appropriate text.

4.6.2 Photographic prints

Separate photographic prints shall be on single weight paper or permanently mounted on cartridge paper for binding and shall be securely fixed in the thesis.

4.6.3 Other illustrative material

Other material which cannot conveniently be bound in the text, such as maps, slides, sound or video tape, or computer media, shall be packaged in such a way that it can be bound with the thesis. If the amount of such material is substantial it should be gathered into a supplementary volume and packaged in a rigid container similar in format to the bound thesis.

4.6.4 Packaging of unbound material

If material which cannot conveniently be submitted in bound form constitutes the whole of a thesis it shall be packaged, labelled and titled as required.

4.6.5 Marking unbound material

Unbound material and its packaging shall both be marked with the author's name, initials and qualification for which the work is submitted in such a way that it can readily be linked with the thesis; it shall contain appropriate instructions for use. Reference to any unbound material shall be made in the thesis, with appropriate instructions for use.

4.6.6 Guards

Guards for plates, diagrams and other inserted material shall be provided where necessary.

4.6.7 Numbers and captions

The numbers and captions shall be at the bottom of the illustrations. The top of an illustration which is bound sideways should be to the left of the page.

4.6.8 Tables

Tables shall be numbered consecutively throughout the thesis. The method of numbering shall be distinct from that used for other material.

4.6.9 Critical editions

Students who undertake a programme of research of which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work or other original artefacts must include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations and a substantial introduction and critical commentary which sets the text in the relevant historical, theoretical or critical context.

4.7 End Matter

4.7.1 Appendices

Appendices shall follow the main text and precede the index (if provided). Appendices may consist of supporting material of considerable length or of lists, documents, commentaries, tables or other evidence which, if included in the main text, would interrupt its flow. The style of appendices shall be consistent with the style of the main text. Long appendices may be divided into chapters, which shall be entered in the table of contents under the main heading of the appendix.

4.7.2 List of references

All research students are expected to be aware of the need for appropriate referencing and familiar with the system used in their own field. Every reference in the list should enable the reader to identify the work cited and to locate the specific passage referenced. There are different ways of listing references in a bibliography but you should be consistent once you have decided on your method. WISER supply a number of helpful guides and resources online: www.uclan.ac.uk/wiser

WISER can provide academic writing advice for research students and give independent feedback. They will read short sections of a thesis (max. 3000 words) and give an opinion about the effectiveness of the writing and referencing. Please note, however, that this service is not to be used in place of a research student's supervisor. To access this service email wiseraaccess@uclan.ac.uk

4.7.3 Bibliography

If a bibliography is supplied it should be arranged in a logical order, for example alphabetically by authors, in broad subject classes. WISER also have useful resources for bibliographies online.

4.7.4 Index

An index should not be required provided the table of contents is detailed. If there is an index it shall comply with the recommendations in BS ISO999:1997.

4.8 Cover and Binding

4.8.1 Preparation of Thesis for Submission

For submission to examiners the thesis can be presented in a temporary bound form sufficiently secure to ensure that papers cannot be added or removed preferably either by tape or velo binding (see below). A thesis submitted in this way must be in its final form in all respects save the binding. The student is liable for payment of copying for essential volumes of the thesis. It is recommended that the thesis is submitted for examination is soft bound either tape or velo.

4.8.2 University Printing Service – UCLan Print

The University printing service offers a range of services to students including binding of theses. The service is located in the Library on the ground floor. If you have any queries please email UCLanPrint@uclan.ac.uk. Leaflets on the service are also available in the Research Student Registry and in the Library. Charges are available upon request.

4.8.3 Final Hard Binding (Permanent)

The thesis must be presented in a permanent binding of the approved type before the degree can be awarded. The binding shall be of a fixed type so that leaves cannot be removed or replaced. The front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright. University of Central Lancashire research degrees requires red covers. (Final hard-binding of the thesis is paid for by UCLan.)

4.8.4 Cover and spine titles

The outside front board shall bear the title of the work in at least 24 pt (8 mm) type. The name and the initials of the student, the qualification and the year of submission shall also be shown on the frontboard.

The same information (excluding the title of the work) shall be shown on the spine of the work. If the work consists of more than one volume the spine shall also bear the number of each volume.

4.9 Length of Thesis

The text of the thesis should not normally exceed the following length (excluding ancillary data)

in Medicine, Science and Engineering and Art and Design for

PhD	40,000 words
MPhil	20,000 words
MA/MSc (by Research)	15,000 words
MD (Res) and MCh (Res)	30,000 words

in Humanities, Health, Social Sciences and Education for

PhD	80,000 words
MPhil	40,000 words
MA/MSc (by Research)	25,000 words
LLM (by Research)	25,000 words
PhD (by Published Work)	10,000 words

Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, it is recommended that the written thesis should be within the range:

for PhD	30,000 - 40,000 words
for MD (Res)	20,000 - 30,000 words
for MPhil	15,000 - 20,000 words
for MA/MSc/LLM (by Research)	10,000 - 15,000 words

4.10 Bibliographical Lists of Theses

The principal lists of theses and dissertations are:

Index to Theses is available online via LibraryOnline/e-resources/databases.

Dissertation Abstracts International (DAI) is the large - mainly USA - database of dissertations. UCLan does not subscribe to DAI but you can search ProQuest Dissertations and Theses (PQDT) for current two years at www.lib.umi.com/dissertations.

4.11 British Standards

British Standards are available online via Library Online/e-resources/databases. Definitive guidance on certain editing problems may be found in these British Standards:

BS1629	Recommendation for references to published materials
BS 2979	Transliteration of Cyrillic and Greek characters
BS ISO 999:1996	Guidelines for the content, organisation and presentation of indexes
BS4148	Specification for abbreviation of title words and titles of publications
BS4280	Transliteration of Arabic characters
BS4812	Specification for the romanization of Japanese
BS5605	Recommendations for citing and referencing published material

British Standards can be searched at BS Online using your UCLan Athens username and password.

4.12 Thesis Production

The University does not provide a word-processing service for students. Commercial typists can be contacted through Yellow pages under "Secretarial Services" or at www.yell.com. Charges will be quoted by the individual typist who, in assessing them, will take into account the complexity of the material to be typed and the quality of paper used. It is usual for the typist to provide the paper. You are advised to refer to the Proofreading Policy in Section 10 of this Handbook.

4.13 Further Reading

4.13.1 Indexing

Former BS4821 states that an index should not be required provided the table of contents is detailed. If there is an index it shall comply with BS ISO999: 1997.

'Reference Manager' and 'End Note' software are available on the UCLan IT network. Indexing software such as MACREX (www.macrex.com) and CINDEK (<http://indexres.com/home.php>) may be useful.

Guides to indexing include:

Booth, Pat

Indexing, the manual of good practice (K.G.Saur, 2001) 029.48 BOO

The ISO Standard for indexing is BS ISO 999: 1996 Information and documentation. Guidelines for the content, organization and presentation of indexes.

4.13.2 Picture research

There are guides, with web links, to image databases and other sources of images on the internet and in the UCLan Library online:

http://www.uclan.ac.uk/students/library/e_images.php

http://www.uclan.ac.uk/students/library/art_museum_image.php

Photographic Libraries www.photographiclibraries.com has a useful search tool. Useful guides to picture research include:

Evans, Hilary & Evans, Rose

The Picture Researcher's Handbook. (Pira International, 2001) 7th ed. RC 027.00025EVA

The internet is a good source of images, especially Google Image. However, web images are usually copyright and care should be taken not to use them without permission.

4.13.3 Punctuation

Carey, Gordon V.

Mind the stop; a brief guide to punctuation with a note on proof-correction. (Penguin, 1976) 421.9 CAR

Oxford English: a guide to the language, compiled by I.C. B. Dear (Oxford U.P., 1986) RC 428 OXF

Truss, Lynne

Eats, shoots and leaves: the zero tolerance approach to punctuation (Profile, 2003) 421.1 TRU

4.13.4 Style and usage

Amis, Kingsley

The King's English: a guide to modern usage (Harper Collins, 1997) 428 AMI

Bryson, Bill

Troublesome words (Viking, 2001) RC 428 BRY

The Chicago Manual of Style. 15th ed. (Chicago U.P., 2003) RC 808.02 CHI

Gowers, Sir Ernest

The complete plain words 3rd. ed. (Penguin, 1987) RC 428 GOW

Marsh, David & Marshall, Nikki

The Guardian stylebook (Guardian Books, 2004) 808.042MAR

MHRA style guide: a handbook for authors, editors and writers of theses. (Modern Humanities Research Association, 2002) 808.042 MHR

Orwell, George

Politics and the English language (1946) in: Collected essays (Secker & Warburg, 1961), pp. 353-367 082 ORW. This article was originally published in Horizon, April, 1947.

Partridge, Eric

Usage and abuse. Rev. ed. (Penguin, 1973) RC 428.003 PAR

Roget, P & Kirkpatrick, B

Roget's Thesaurus. New ed. (Penguin, 2011) 423 ROG

Roget's Thesaurus and other reference books may be found at www.bartleby.com

The Library subscribes to the online edition of the Oxford English Dictionary at www.oed.com

The Plain English Campaign's website is thought-provoking and instructive: see www.plainenglish.co.uk

5 Video Conferencing Procedures for Research Degree Examinations

Video conferencing is permitted for research degree oral examinations under certain exceptional circumstances only. Use of video conferencing must be authorised and must comply with these procedures. Oral examinations are not recorded.

5.1 Basis for requests

Video conferencing facilities can only be used in oral examinations of research students following a declaration of extraordinary circumstances by the University or where unexpected or unpredictable circumstances arise.

5.1.1 Extraordinary circumstances are defined by the University in the Academic Regulations as:

“Extraordinary circumstances may be caused by external factors beyond the control of the university, which interfere with normal assessment processes or procedures and create a risk that the determination of awards or the progression of students will be delayed, though the functioning of the university is not radically or lastingly affected. Episodes of industrial action, or disruptive natural events such as epidemics or flooding, are examples.”

5.1.2 Unexpected and unpredictable circumstances may include:

- where mobility issues arise;
- where the cost of travel for an appropriate external examiner becomes excessively high;
- local disruption caused by accident, flood, fire or other natural catastrophe

Examples of these circumstances which are acceptable are:

- disability of the examiner/student
- ill-health or serious injury of the student or examiner resulting in difficulties travelling long distance

It is noted that video conferencing should not be arranged at very short notice due the technical arrangements and authorisation requirements for this mode of examination. In certain instances requests would be expected to be submitted at the time of examination arrangements e.g. where a long term ill-health issue of the student has already arisen.

Under no circumstances will the option of an oral examination by video conference be considered solely due to the fact the student has left the area or moved overseas.

The technician should be given a reasonable amount of notice as determined by their School to set up video conference facilities.

5.1.3 Procedure for seeking permission to use video conferencing in oral examinations

Requests for an oral examination by video conferencing should be sought using the form at Appendix 1 of this Handbook. It should be submitted by the School, in the first instance, to the Research Student Registry. Before submitting such a request it is recommended you seek advice from the Research Student Registry.

Requests must:

- show that any time differences between the two locations have been taken into account. If one participant is overseas, it must be confirmed that the student is not disadvantaged by an examination taking place at an inappropriate time. Similarly, examiners cannot be expected to examine outside normal teaching hours.
- detail the prior agreement between all parties i.e. examiners, student, technical staff and supervisor (if present) as to the procedure in the event of a technical failure for reconvening the examination with a date specified.
- nominate an Independent Chair to be present at the oral examination.
- identify which examiner will be in the room with the student.

Video conferencing requests must be accompanied by the written consent of all parties concerned, i.e. the student and all the examiners. This consent must be obtained prior to the approval for video conferencing being sought.

The Director of Studies must confirm that the student will not be disadvantaged. Video conferencing cannot be used under any circumstances where the Director of Studies does not agree to the request.

The Research Student Registry may require further information in relation to the request to use video conferencing.

Requests to use video conferencing will be dealt with on a case by case basis. Requests will be approved by the Chair of Research Degrees Board. A request may be refused where it is considered that there is not sufficient evidence to support such a request. A decision to refuse a request is final.

The Research Student Registry is responsible for liaising with the student's School technical staff to arrange the video conferencing arrangements. The Research Student Registry will then notify the student, all examiners and Director of Studies of such arrangements. The Dean/Head of School and Research Degrees Tutor will also be notified.

5.2 Procedures Prior to the Oral examination

The student and examiners are required to undertake a dry run using the facilities prior to the actual oral examination.

The video conferencing must be set up so all participants in the examination at both venues are visible to each other.

5.3 Procedures for the Oral Examination

One examiner must be in the examination with the student.

Any materials brought in to the examination room by the student must be identified prior to the start of the examination.

Usual examination protocols apply, including escorting the student during any exit from the room before the conclusion of the oral examination.

On concluding the oral examination held by video conference, all participants must confirm that the arrangements have not had substantive bearing on the examination process. Examiners are expected to note this in their final joint report and also make any other comments on the conduct of the oral examination by video conference.

The Independent Chair's report will confirm any additional points.

5.4 Responsibilities for Video Conferencing

Arrangements

The School is responsible for any financial costs of video conferencing incurred. The School should determine the full extent of the costs and whether there are costs to be met at the non UCLan venue.

The technical arrangements must be the responsibility of technical members of staff and they should liaise with technical staff at the other institution involved to ensure that they can offer satisfactory video conferencing services.

The Research Student Registry must ensure that the student is given the opportunity to have a dry run to practice speaking to another party using the facilities in advance of the oral examination. Similarly, the examiners should practice using the facilities prior to the oral examination commencing.

The technicians must be able to maintain the video link throughout the oral examination from the commencement of the pre-examination meeting to the point where the student has been notified of the outcome of the oral examination.

The Independent Chair should ensure that:

- all examiners and the student have practiced using the video conferencing facilities;
- at least one of the examiners is present in the same room as the student;
- the internal examiner must be located at the University campus during the oral examination;
- where the student is the remote party, any materials brought into the oral examination are identified at the start of the examination and are visible throughout;
- apart from technical staff, the only other persons present at the oral examination are those permitted to be there: the examiners, independent chair and a supervisor;
- the set-up of the conference facilities are arranged so that each person at each end of the link is visible to everyone at the other venue.

5.5 Appeals

A request for an academic review of a research degree examination by a student will be considered, and where appropriate conducted, under the University's standard appeal procedures. However, a student having agreed to an oral examination by video conference may not be permitted to then use this as grounds for appeal.

6 Policy for Interruptions to Study for Research Students

6.1 Introduction

This Policy is intended to assist research students and staff with processing applications from students for an interruption of their studies. Interruptions may take the form of either an authorised interruption of registration, maternity leave, adoption leave, paternity leave, or an authorised interruption during the period permitted by examiners for the correction of the thesis. All interruptions to study must be authorized by the appropriate person/body and must be authorised prior to the commencement of the interruption to study. Retrospective interruptions to study will not normally be permitted. Short- term periods of absence of up to one month do not constitute an interruption to study and should be processed as authorised absence

6.2 Principles Governing Interruptions to Study

6.2.1 Continuous study

Research students are expected to pursue their research degree in one continuous period of study. However, the Academic Regulations do provide for students to interrupt their study where study is prevented by non-predictable, serious or exceptional circumstances or maternity/adoption/paternity leave.

Interruption to study means that a student does not formally engage with their research, obtain supervision or write up their thesis. It normally suspends tuition fee liability and any consideration of the student's academic progress for the duration of the period of interruption to study. The reasons for interruption to study normally prevent a student from being on campus and engaging with their research. For this reason, any period of approved interruption to study would require an adjustment to the expected end date of the programme equivalent to the period of time of interruption.

6.2.2 Timescales

All study for the research degree must have ceased or be expected to cease for a period which must normally exceed one month¹. Under the Academic Regulations the maximum cumulative total period permitted for an interruption to study is 24 months except where the student has not undergone Research Programme Approval, where the maximum permitted interruption is 3 months.

Students who have successfully undertaken Research Programme Approval who wish to interrupt their studies for longer than 24 months or students who have not undertaken Research Programme Approval who wish to interrupt their studies for longer than 3 months will be withdrawn and asked to seek readmission if they wish to recommence their studies. Such students would undertake a re-admissions process which will focus on:

- a. whether the student's circumstances had improved sufficiently, and
- b. whether any work completed in the earlier period of study could be re-started on their return.

Under normal circumstances students are required to apply for an interruption of study prior to or at the time that the circumstance occurs and not retrospectively. Approval of applications for interruptions to study which are made retrospectively will be exceptional.

6.2.3 Externally funded students

Research students who are funded by external bodies may be subject to other requirements which impact on their funding. Most external funding bodies require notification of interruptions to study. It is the student's responsibility to ensure the requisite documentation is completed and submitted.

6.2.4 Unauthorised absence

Students who take unauthorized interruptions to study will be withdrawn from their research degree programme and must seek readmission if they wish to resume their studies.

6.2.5 International students

¹ For paternity leave, the permitted maximum is two weeks.

Students studying at the University on a Tier 4 visa must comply with the conditions of their visa and the University is required, under immigration law, to report any change of circumstances to the UK Visa and Immigration (UKVI). Interruption to study constitutes a change of circumstances and approval of such interruption means that the student will be required to leave the UK. Any student studying at the University on a Tier 4 visa must obtain immigration advice where they wish to apply for an Interruption to Study.

When considering requests for periods of interruption of studies from students studying at the University on a Tier 4 visa, due regard must be given to whether or not the interruption will require additional time to be given for the student to complete their studies, and if the student is able to continue to sign in on a monthly basis. Any period of absence over one month must be considered as an interruption to study and as such, this will be reported to UKVI and the student will be required to leave the UK.

6.2.6 Other adjustments to continuous study

Typical circumstances which may lead to a student needing to request to interrupt their continuous study, which form the grounds for supporting an application, are listed under Section 6.3.3.

A short-term period of up to one month where the student is unable to study because of personal circumstances or ill health should be processed as authorised absence and should not be processed as a formal interruption to study.

6.3 Policy for Submitting Applications for Interruptions to Study

6.3.1 Programmes to which the process applies:

PhD
MPhil
MD (Res), MCh (Res)
LLM (by Research)
MA (by Research)
MSc (by Research)
PhD (by Published Work)

This process does not apply to Professional Doctorates or Taught Doctorates.

6.3.2 Categories of student to whom the process applies

This process applies to all research students whether or not they have undertaken Research Programme Approval. (See section 8.2.2 Timescales).

6.3.3 Applying for an Interruption to Study

a) When to submit an application

As soon as the circumstances arise, the student should discuss their circumstances with the Director of Studies or second supervisor. An application must be submitted prior to or at the same time as the commencement of the period of interrupted study. Where the date for return to study is not clear then a reasonable time period must be applied for. Applications should not be delayed because the end date for the interruption is not clear.

b) Extensions to an approved period of interrupted study

Subsequent applications may need to be submitted if the original period granted proves insufficient. Further evidence will usually be required, for example medical certificates.

c) Returning early

Where the period granted exceeds the actual requirements, the Research Student Registry should be notified and the interrupted period amended to show the reduced period.

d) How to apply for an interruption to study

Applications must be submitted to the Research Student Registry on the Application for Interruption to Study (Postgraduate Research Students) form for approval by the Faculty Director of Research and Innovation. It is the responsibility of the Research Student Registry to submit the request to the relevant Faculty Director of Research and Innovation. A

full account of the circumstances should be provided by the student. Documentary evidence should be appended to the form. The Application for Interruption to Study (Postgraduate Research Students) form can be downloaded from the Student Portal. All information and documentary evidence provided are classed as personal, sensitive and confidential information.

e) Grounds for Interrupting Study

The principal reason for interrupting study must be that it is for **exceptional or unforeseen cause the consequences of which require an extended period (longer than one month) of time away from study**. Examples of acceptable circumstances are:

- ill-health or serious injury of the student requiring more than one month away from studies;
- unforeseen personal or family circumstances requiring more than one month away from studies;
- public service, such as jury service, or enforced non regular armed forces service exceeding one month;
- delays of more than one month in obtaining ethical approval from external bodies where the delay exceeds one month and where the delay is due to the approval process not untimely or late submission of the application by the student;
- excessive, unpredicted work commitments of the student caused by exceptional circumstances verified by the line manager requiring more than one month away from studies;
- In the case of programmes in the fields of medicine and dentistry, where a student is required to undertake professional examinations in order to progress to consultant level, an interruption of study of up to a maximum of 6 months will be permitted, which will be additional to the 24 month cumulative total.
- Research internships or professional development programmes of up to 12 months (see section 8.6).

The following are examples which would **not be acceptable** as grounds for interruption to study:

- Lack of awareness of procedures on the part of the student or supervisors;
- Poor project management or time management;
- Delays in communications between students and supervisors;
- Temporary lectureships;
- Conference attendance (academic conference attendance is a core part of your studies to support your development as a researcher);
- Exchange visits;
- Work commitments. Part-time students who have full-time employment at the start of their degree or part-time/full-time students who take on significant hours of part-time work (in excess of the recommended six hours) during the degree may not be granted an authorized interruption on grounds of workload unless it can be evidenced that the workload has unexpectedly become so excessive as to prevent study;
- Expeditions/sporting events;
- English language difficulties;
- Computing difficulties including avoidable loss of work;
- Long term holidays;
- Voluntary service.

Students beginning their research programme are expected to have given due consideration to their personal and financial circumstances before accepting an offer of a place on the programme.

There may be circumstances outside the control of the student which do not prevent them from engaging with their programme but which require a remedy of additional time to complete their studies. Circumstances where the University is responsible, such as replacing supervisors or resolving breakdowns in equipment, may require an extension to the end date of the programme as a remedy for such circumstances. Under these circumstances, an application can be made to the Research Degree Board, to extend the end date of the student's programme. Extensions to periods of registration are exceptional as they impact on the University's completion rates and the funding for any extension needs to be determined.

f) Timescales

- An application for a period of interruption to study is not required for periods where study ceases for less than one month – these should be processed as a period of authorised absence.
- For students who have yet to undergo Research Programme Approval, periods of interrupted study will be approved in multiples of one month up to a maximum of 3 months.
- Fractions of months (full weeks) may be considered if deemed applicable.

g) Multiple interruptions to study

In accordance with Clause 6.2 above, students are expected to pursue their research degree in one continuous period of study. Where it is unavoidable for students to make application for more than one period of interruption to study, the total cumulative period of interrupted study must not exceed 24 months. Any application for a single or cumulative period of interrupted study of more than 12 months must be sought from the Research Degrees Board. In such circumstances, the Research Student Registry will monitor all students' periods of interrupted study and will advise relevant Heads of School. Heads of School must seek approval from the Research Degrees Board, providing reasons for their recommendations. The University must be assured that the originality of a project will not be compromised by a single period interruption to study or the cumulative time taken by a student in interrupted study.

Students who have undertaken Research Programme Approval who wish to interrupt their studies for longer than 24 months, or students who have not undertaken Research Programme Approval who wish to interrupt their studies for longer than 3 months, will be withdrawn and asked to seek readmission if they wish to recommence their studies.

h) Approval of interruptions to study

The respective Faculty Director of Research and Innovation is responsible for approving applications for periods of interruptions to study. A decision will be made on the evidence provided. Where an application for a single period of interruption to study exceeds 12 months, the Faculty Director of Research and Innovation must refer the application for consideration and approval to the Research Degree Board.

Any retrospective application for a period of interruption to study may only be considered and approved by the Research Degree Board and will only be approved if there was good reason why the request could not have been submitted prior to or at the same time as the period requested. A retrospective approval will be exceptional.

All approvals must be made within three working days of receipt of the application and must be recorded in the University's student records system within three working days of the approval.

All approved periods of interrupted studies (including any retrospective approvals) for students studying at the University under a Tier 4 visa must be reported to the Student Immigration Compliance Team in Academic Registry who will report their change of circumstances to UKVI within 10 working days of the approval. This is a statutory requirement.

Where applications for periods of interrupted studies are rejected, the decision, with reasons, must be provided to the student in a reasonable timescale. Where a student takes unauthorised leave, this will be recorded on their progress record. For a student studying at the University under a Tier 4 visa, this may lead the University to report them to the UKVI as not engaging which may lead to a curtailment of their leave to remain in the UK.

Any application for a single period of interruption to study which leads to a cumulative period of interruption to study of more than 12 months, must be considered and approved by the Research Degree Board.

6.3.4 Supporting Evidence

All applications must be accompanied by original documentary evidence. The evidence must relate to the period claimed. Post-dated corroborative evidence is of limited value and will not normally be taken into account if it is felt that evidence could have been collected at the time.

a) Medical evidence

Where illness leads to a request to interrupt study, a student should obtain a certificate, report, or letter from their General Practitioner, student counsellor, or hospital. A note from a doctor who did not see the student at the time and which was written after the event is not generally acceptable.

At the request of the student, medical evidence may be held in confidence and the information made known only to the Faculty Director of Research and Innovation.

b) Medical evidence for members of UCLan staff

Where medical evidence has already been forwarded to UCLan's Human Resources service by the line manager, a photocopy will suffice. If a copy cannot be obtained, a confirmatory note from the Dean/Head of School will be required.

c) Other documentary evidence

Where the circumstances do not relate to the ill-health of the student, it is the responsibility of the student to provide independent, third party, documentary evidence of the circumstances. If the circumstances relate to ill-health of a partner or a close family member, a note from the doctor will suffice. In the case of an accident or criminal act against the student, a note from the doctor or a copy of the Police incident report will be acceptable. In other circumstances, it is the responsibility of the student to provide appropriate and corroborative documentary evidence.

d) Confidentiality

In sensitive cases, the student may opt to disclose information only to the Faculty Director of Research and Innovation. The application form should be annotated as follows “*Confidential – Faculty Director of Research and Innovation informed*”. All confidential information should be submitted in a sealed envelope.

6.3.5 Contact with the University during periods of interrupted study

Students are encouraged to make occasional contact with their supervisors during periods of interruptions to study but are not permitted to make use of University facilities whilst their studies have been interrupted. Students are not expected to engage with their research, submit work, write up their thesis or attend supervisory meetings during periods of interrupted studies. Students are expected to ensure that their workstations are kept tidy and well-maintained at all times and especially before taking periods of annual leave or authorised interruptions to study. All appropriate health and safety and ethical protocols must be observed.

6.3.6 Return to Study

Students must confirm their return to study with their Research Degree Supervisor and the Research Student Registry when their period of interruption period ends. The Research Student Registry will advise whether re-enrolment is required.

At the end of an approved period of interruption to study, students are expected to have ‘return to study’ progression meetings with their supervisory team. For international students who have had to leave the UK during their period of interrupted study, this should take place using Skype or equivalent remote technology. At these meetings, there should be a discussion of the current status of the research programme, the student’s targets for the coming year, identification of any additional activities or training required to ensure the student remains ‘on track’, and an assessment of whether the project remains viable and can be completed on time. Students should complete RDSC11 the ‘Return to Study’ report at the end of their interruption period. This report must be submitted to the Research Student Registry within two weeks of the return to study.

6.3.7 The Annual Assessment of Progress Exercise

Students who are in a period of interrupted study on 31st May for a period of less than 3 months will follow the Annual Assessment of Progress exercise. Students in a period of interrupted study on 31st May for longer than 3 months will complete the RDSC10 ‘Return to Study’ report within two weeks of the return to study and then meet with their Supervisory Team and Research Degree Tutor for the Annual Assessment of Progress Exercise.

6.3.8 Submission of thesis

A student will not be permitted to submit their final thesis during an interruption to study period,

6.4 Policy for Applications for Maternity, Adoption, and Paternity Leave

An application for an interruption to study may be submitted for maternity leave or adoption leave.

Maternity and Adoption Leave

6.4.1 Timescales

Students who have undergone Research Programme Approval can be granted a leave of absence for the following maximum periods during their research programme:

- maternity leave *
- adoption leave *

* Externally funded students should follow the guidelines laid down by the sponsor.

Students who have not undergone Research Programme Approval will be granted a maximum of 3 months.

Students who have undertaken Research Programme Approval who wish to interrupt their studies for longer than 24 months, or students who have not undertaken Research Programme Approval who wish to interrupt their studies for longer than 3 months, will be withdrawn and asked to seek readmission if they wish to recommence their studies. Such students would undertake a re-admissions process which will focus on:

- whether the student's circumstances had improved sufficiently, and
- whether any work completed in the earlier period of study could be re-started on their return.

6.4.2 Categories of student to whom adoption leave applies

Adoption leave is granted where the student is the primary carer. Where a student adopts a child as the spouse/partner/other member of the jointly adopting couple, the entitlements to adoption leave will 'mirror' those applying for paternity leave.

6.4.3 When to apply

An application should be submitted using the Application for Interruption to Study (Postgraduate Research Students) form, in advance of the required leave period.

International students, studying at the University on a Tier 4 visa will be required to return home.

6.4.4 Paternity Leave

Paternity leave will be granted up to a maximum of 2 weeks. An application is not required. However, the supervisory team is required to notify the Research Student Registry. Paternity Leave will be processed as authorised absence.

6.5 Policy for Applications for Authorised Interruption to Study During the Period Permitted for Corrections to the Thesis (Post Oral Examination Period)

6.5.1 Process

An interruption to study during the period permitted by the examiners to correct the thesis where study is prevented by non-predictable, serious or exceptional circumstances may be granted.

The same principles and process applies as detailed under section 6.2 and 6.3 above, except 6.3.3g) where the following replaces that section:

6.5.2 Multiple interruptions to study during the examination period

Where subsequent applications take the total period beyond the 24 months' maximum there will be consideration of whether continuation on the programme remains viable by the Research Degree Board. The University must be assured that completion by the student is likely and will be possible in a reasonable period and that the supervisors and the examiners are available to enable completion of the process.

6.6 Interruption for research internship or related professional development programme

Where a research student is permitted to undertake an interruption to study related to a research internship or related professional development programme, a period of up to 6 months may be approved by the Faculty Director of Research and Innovation. Applications for longer than 6 months, but no longer than 12 months, must be submitted to the Research Degrees Board for approval (NB this will form part of the 24 months cumulative total).

Students studying at the University on a Tier 4 visa will have restrictions placed on the number of hours they are permitted to work during term-time. Therefore, they should seek immigration advice and guidance in respect to any proposed internship. Students are required to comply with the terms of their visa and the University has a statutory obligation to report to the UKVI any known breach by a student of the conditions of their visa.

7 Unfair Means to Enhance Performance - Regulations and Procedures for Research Programmes and the Research Element of Professional Doctorates

The Regulations governing the use of unfair means to enhance performance are set out in the Academic Regulations.

The University regards any use of unfair means in an attempt to enhance performance or to influence the standard of any award obtained as a serious academic and/or disciplinary offence.

All research students should be familiar with the Policy on Proofreading and are expected to be fully cognisant with the rules of citation and referencing (see Section 10 of this Handbook).

Unfair means includes all forms of cheating, plagiarism, collusion and re-presentation.

Research students should note carefully that they are required to sign a declaration indicating that the thesis submitted for examination is their own work.

7.1 Plagiarism

Material submitted for assessment through examination of the thesis, or any other part of the research degree process including Research Programme Approval and reports for Transfer from MPhil to PhD must be the student's own efforts and must be his/her own work. Students are required to sign a declaration indicating that individual work submitted for assessment is their own.

Copying from the works of another person constitutes plagiarism, which is an offence of unfair means. The penalties for plagiarism are applied consistently in all circumstances, notwithstanding the level of the programme of study or whether the offence was considered to be intentional or unintentional. Brief quotations from the published or unpublished works of another person, suitably attributed, are acceptable. Research students are expected to know, understand and to follow appropriate referencing schemes for their own discipline.

7.1.2 Detection

Students' work may be submitted electronically to TurnitinUK which is a web based system that provides comprehensive checking of submitted work for matching text on web pages, electronic journals and previously submitted student work. TurnitinUK generates an Originality Report to facilitate the identification of potential plagiarism cases. The Originality Report can be used as evidence and supports the related decision making process.

If an examiner detects plagiarism or another form of unfair means to enhance performance at any stage during the examination process then it should be reported immediately to the Research Student Registry. If an examiner suspects plagiarism at any point then the examiner may request that the Research Student Registry obtain a Turnitin report for the thesis.

If detection takes place during the assessment of the thesis (for the first examination) before the oral examination or of a resubmitted thesis then the examiners will be asked to complete their Preliminary Reports before the matter is progressed under the procedure for Unfair Means to Enhance Performance. In the case of a first examination and a resubmission requiring a further oral examination the oral will be deferred until the outcome of the procedure is known.

Even if the unfair means is only reported by one member of the Examination Panel the examination will not proceed further until the investigation under this procedure has taken place and the outcome is known.

When the unfair means is detected during the oral examination the examiners should halt the examination. If detection occurs in a revised thesis following minor amendments or major revisions or at any other point then the matter will be referred back to all the examiners and a report will be required before proceeding under the Unfair Means procedure.

7.1.3 Re-presentation of work

The same work cannot be recognised twice for academic credit. A student who attempts to submit the same work for academic credit, e.g. a Master's thesis shall be deemed to have used unfair means.

7.1.4 Collusion

Collusion is an example of unfair means because, like plagiarism, it is an attempt to deceive the assessors or examiners by disguising the true authorship of the thesis, or other work such as the Research Programme Approval or Transfer report.

The most common versions of collusion amongst research students are:

- i) the use of writers, including professional persons, often known as 'scientific writers' or 'ghost writers';
- j) cases where a student copies, or imitates in close detail, another student's or academic's work, even with his or her consent (in which case it becomes an offence of collusion).

It is also an offence of collusion to consent to having one's work copied or imitated in close detail. Students are expected to take reasonable steps to safeguard their work from improper use by others.

Collusion should not be confused with the normal situation in which students learn from one another and academics, sharing ideas, as they generate the knowledge and understanding necessary for each of them successfully and independently undertake research. Nor should it be confused with group work on a research project where this is specifically authorised.

7.2 Procedure Following an Allegation of Unfair Means

7.2.1 Principles

All instances or allegations of the use of unfair means will be investigated in line with the procedure set out below.

If use of unfair means is suspected at progression or at the examination then proceedings will be suspended until the matter is investigated. A Progression/Reassessment Board will not come to a decision on a student's result where an instance or allegation of the use of unfair means has not been resolved.

Where irregularities in the preparation of the thesis or other irregularities in the conduct of the examination are suspected, the examiners will not come to a decision on the recommendation for the student.

Where evidence of use of unfair means to enhance performance becomes apparent subsequent to the recommendation of the examiners the matter will be re-opened and the original decision may be set aside if appropriate.

7.2.2 Procedure

- Alleged acts of cheating and plagiarism will be reported to the Dean/Head of School for investigation. Where the student is supervised by the Dean/Head of School the matter will be reported to the Chair of The Research & Innovation Committee who will nominate an alternative member of staff to investigate.
- The Dean/Head of School will investigate the matter and give the student the opportunity to put his/her case. The student may be accompanied by either a member of the Student's Union, a student counsellor or a friend.
- The Dean/Head's decision will be based on the facts and on the evidence presented. The standard of proof will be the civil standard of proof which is that 'on a balance of probabilities', the facts of an allegation are more likely than not to have happened. If the student does not attend without good cause, a decision will be made in their absence and a penalty may be imposed (see paragraph below).
- If the allegation is found to be proven the Dean/Head of School will impose/recommend a penalty up to and including failing the award.
- In the event of a single offence, the penalties available are:
 - (i) at Research Programme Approval:
 - a. Referral with a second opportunity to complete Research Programme Approval satisfactorily;
 - b. In the case of a PhD student, a maximum award of MPhil;
 - c. Failure of the award.

- (ii) at Transfer from MPhil to PhD:
 - a. With or without the Transfer viva at first examination;
 - b. A maximum award of MPhil;
 - c. Failure of the award.
- (iii) at Examination:
 - a. Referral without the oral exam at first examination with or without the examiners' comments;
 - b. In the case of a PhD student, the maximum of an MPhil award;
 - c. Failure of the award.

If the Dean/Head imposes penalty (iii) b., the examination process must be completed to ensure the student meets the criteria for an MPhil award.

In the event of a repeat offence of unfair means (irrespective of whether the repeat offence involves the same form of unfair means) on the same research degree, the appropriate penalty should be failure of the degree.

- If failure of the award, or award of MPhil in place of a PhD or Professional Doctorate, is imposed by the Dean/Head of School, the student may request that the matter be referred to a disciplinary hearing in accordance with the Disciplinary Regulations.
- If the Dean/Head of School is of the view that an academic sanction by itself is inadequate given the nature of the offence (e.g. where the offence involves theft, falsification, impersonation or bringing the University into disrepute) or that there has been research malpractice, the matter will be referred for action under the Disciplinary Regulations.
- A hearing under the Disciplinary Regulations cannot change a penalty imposed by a Dean/Head of School or any decision reached under the Academic Regulations. However, the outcome of the hearing will be made available to the Dean/Head of School and the Chair of the Research Degrees Board, or Research & Innovation Committee in the case of a failed award, who may review their decision based on the recommendations made at the hearing.
- Any matter dealt with by the Dean/Head of School where the student accepts the sanction will be reported to the appropriate Research Degrees Board.
- Any appeal against the decision of the Dean/Head of School will be heard under Stage 2 of the procedure for appeals against progress assessment decisions.
- Appeals must be made in writing to the Head of Assessment and Awards within 14 days of the hearing. An appeal will only be valid if it is based on the following grounds:
 - that the original decision was not conducted fairly and/or in accordance with the published procedure;
 or
 - that the original decision was unreasonable in all the circumstances.

Where an allegation of unfair means have been upheld, the University may inform relevant third parties of the nature and outcome of the case, including the relevant Professional, Statutory or Regulatory Body, placement providers or potential employers in the event of a reference request. The student will be informed in the event of any such disclosures.

Reasonable adjustments will be made where students have mobility or communication problems in order that they may be informed of the process and have the opportunity to present their case, test the evidence, and offer an explanation or mitigation.

8 Policy for Exclusion of a Student from a Research Degree Programme during an Academic Session for Academic Reasons

This policy lays out the process and the records required for evidence to be used by Supervisors, Schools, the Research Student Registry, and Research Degrees Board for the exclusion of a research degree student under the Academic Regulations.

A student may also be excluded as a result of the Annual Assessment of Progress Exercise when a FAIL-WITHDRAW is recorded as a result of that process.

8.1 Procedure for the Exclusion of Research Students during an Academic Session

1. The Research Degrees Tutor (RDT) will consider the evidence provided by the School and where it determines it appropriate will implement the process set out below for the exclusion of research students during an academic session.
2. The RDT will initiate this process during an academic session (as distinct from the Annual Assessment of Progress Exercise), if one (or more) of the following criteria apply:
 - a. Failure to obtain Research Programme Approval (RPA) within regulatory deadlines;
 - b. Failure at the sec
 - c. ond attempt to Transfer to PhD (and where exit at MPhil has been considered and is not an option);
 - d. Sustained lack of engagement with studies or repeated absences;
 - e. Failure to reach the appropriate academic level or progress at an appropriate rate;
 - f. Failure to secure permission to enter the final year of study.

Before the RDT initiates the exclusion process, s/he will confirm to the Head/Dean of School and Research Degrees Board that the process is being initiated. There are three identified stages that must be completed:

8.2 Stage 1

The student is written to (hardcopy) on UCLan letter-headed paper and by email (UCLan and personal email addresses) by the Research Student Registry (on behalf of the RDT) and copies are sent to:

- Supervisory Team,
- Head/Dean of School,
- RDT.

The Stage 1 letter will consist of the following sections:

- Statement on the lack of progress **and** the reason the process is being applied (e.g. non-engagement, missed deadlines etc);
- Remedial action required;
- Deadline for response and submission of the work to the supervisory team;
- Contact details for advice or assistance;
- Consequences of lack of response statement – e.g. proceed with exclusion, option for the student to withdraw.

8.3 Stage 2

If the student does not respond or complete the remedial work satisfactorily by the given deadline, the RDT is informed by the supervisory team. The student is written to (hardcopy) on UCLan letter-headed paper by the Research Student Registry (on behalf of the RDT) and by email (UCLan and personal email addresses) and copies are sent to:

- Supervisory Team,
- Head/Dean of School,
- RDT.

The Stage 2 letter will consist of the following sections:

- Either non-response to Stage 1 letter has been noted or the remedial work has not been completed satisfactorily by the given deadline;
- Statement regarding extenuating circumstances (see *below);
- A new deadline for responding to the remedial action identified in the Stage 1 letter. Statement informing the student that if no response is submitted by the deadline, the student will be excluded and withdrawn from the University;
- Contact details for advice and assistance;
- Option for the student to withdraw.

8.4 Stage 3

If the student does not respond or complete the remedial work satisfactorily by the given deadline, and/or submit extenuating circumstances, the Research Degrees Board is informed and the Board will make a decision whether to confirm the student's exclusion.

The student is written to (hardcopy) on UCLan letter-headed paper and by email (UCLan and personal email addresses) by the Research Student Registry (on behalf of the Board) and copies are sent to:

- Supervisory Team,
- Head/Dean of School,
- RDT.

The Stage 3 letter will consist of the following sections:

- Either non-response to Stage 2 letter has been noted or the remedial work has not been completed satisfactorily by the given deadline;
- Statement regarding extenuating circumstances (see *below);
- Confirmation that the student is to be excluded and withdrawn;
- Statement regarding the student's right to appeal this decision within 14 days.

*** Extenuating Circumstances**

If there are exceptional or unforeseen circumstances affecting the student's progress, the student must make these known, by making a written submission to the Research Student Registry. The severity of the submitted circumstances will be considered by the RDT (in liaison with the supervisory team, if appropriate) or the Research Degrees Board to determine whether they have had a negligible or significant effect on the student's progress.

8.5 Applications further to Stage 2

If it has been established that the circumstances have had a significant effect on the student's progress, the following options will be considered once all the relevant details are known:

1. Student to submit an application for Authorised Interruption of Studies (Postgraduate Research Degrees) form by a given deadline. Once fully approved, the RDT or Research Degrees Board will reconsider the remedial actions required and provide a new deadline.
2. The RDT or Research Degrees Board will work with the School to resolve any issues raised. Once these have been addressed, the Research Degrees Board will review the Stage 1/Stage 2 requirements and take such action as is appropriate.
3. If the RDT determines there has been no significant effect on the student's progress, the Research Degrees Board will be informed and will proceed with Stage 3 above.

8.6 Applications further to Stage 3

If it has been established that the circumstances have had a significant effect on the student's progress, the following options will be considered once all the relevant details are known:

1. Student to submit an application for Authorised Interruption of Studies (RDSC7) by a given deadline. Once fully approved, the Research Degrees Board will reconsider the remedial actions required and provide a new deadline.

2. The Research Degrees Board will work with the School and the RDT to resolve any issues raised. Once these have been addressed, the Research Degrees Board will review the Stage 1/Stage 2 requirements and take such action as is appropriate.

If the Research Degrees Board establishes that there has been no significant effect on the student's progress, the Board will inform the student in writing that they will continue with the exclusion and the student will have the right to appeal within 14 days from the date of their determination.

8.7 Supplementary information

8.7.1 School Responsibilities:

1. Research students should write up each formal supervisory session with their Director of Studies or full supervisory team. (See the Template to Record Supervisory Meetings in the Research Student Progress File.) Supervisors should ensure they agree these records and keep copies.
2. Directors of Studies should meet with their respective research student at the beginning of each academic year and also during the Annual Assessment of Progress Exercise to draw up a plan of work and training plan to be undertaken each year. Directors of Studies should also draw up a list of agreed dates for supervision during the year.
3. Supervisors are to inform the relevant RDT of lack of engagement or progression and provide appropriate evidence.

8.7.2 Research Student Registry Responsibilities:

1. Notify supervisors/RDTs of student deadlines for RPA and Transfer to PhD.
2. Provide timely feedback of outcomes from relevant meetings relating to RPA and Transfer to PhD.
3. Notify supervisors/RDTs on a regular basis regarding the need for on-going record keeping and to report any student absences or non-contact to the Research Student Registry.
4. Reinforce the School responsibilities throughout the academic year.
5. Give guidance on templates and appropriate ways of capturing the required information, as needed.

8.7.3 Records:

Appropriate records must be kept by supervisors and RDTs. These should show progress/ lack of progress and record feedback given as well as deadlines. They should show attempts to contact students and follow up for missed deadlines contact etc. These are required for the Annual Assessment of Progress exercise but also must be available to substantiate or support the exclusion process. These records must show:

1. A plan of work and/or progression targets for the year including any compulsory training.
2. A record of supervisory sessions held and agreed actions or work required with deadlines.
3. Feedback given to students on their work and progress, whether satisfactory or unsatisfactory.
4. The level of study achieved or why the correct level has not been achieved.
5. All attempts to contact a student after a failure to submit work, respond to any deadlines, or any absences.

8.8 Exclusion and the Annual Assessment of Progress Exercise

If Exclusion has been initiated and is still underway when the Annual Assessment of Progress Exercise starts, the student will be automatically referred by the Research Degrees Board pending an outcome to the exclusion. Similarly, if the Annual Assessment of Progress Exercise has been initiated, this will prevail and the School will not initiate Exclusion during the Annual Assessment of Progress Exercise.

9 Appeals Against Research Degree Progression and Examination Decisions

9.1 Principles

An appeal cannot overturn the academic judgement of the assessors properly exercised. A request for an appeal may not be based on a questioning of the academic judgement of any individual assessor and requests made on this basis shall be ruled invalid. Appeals submitted outside the specified deadlines will be ruled invalid unless, exceptionally, the student can show good reason why the appeal could not have been submitted earlier.

9.2 Status of a Student during an Appeal

A student whose case is under consideration via an internal appeal shall have the right to continue with his/her course (provided that he/she is in good standing with the University) until such time as a decision has been reached. This right is designed solely to ensure that a student whose appeal is upheld is not academically disadvantaged and it shall not be interpreted as acceptance of a failed student on a subsequent stage of the course.

The School has the right to suspend any bursary until the outcome of the internal appeal has been reached.

9.3 Students Studying Off-Campus Outside the UK or at Collaborating or Partner Colleges in the UK or Overseas

It is recognised that attendance at a hearing in the University in Preston will be problematic for students at Partner College campuses or if they are based off-campus overseas. Students wishing to appeal will be given the opportunity to:

- undertake the appeal by correspondence with the nominated Appeals Officer in the University facilitating the process. It is expected that this will be the procedure used in most cases; or
- attend a hearing or interview at one of the University's Partner Colleges with the permission of the Partner College. Video conferencing of such a hearing or interview will be considered where appropriate; or
- exceptionally attend a hearing or interview in the University.

In all such cases, the timescales for replying to students and requiring replies from students will need to be adjusted. However, both the student and the University will be expected to fulfil their respective responsibilities within a reasonable timeframe.

9.4 Persons Permitted to Accompany the Student during the Appeal Process

Anyone who lodges an appeal will be entitled to be accompanied by a person of their choosing at any stage in the procedure. Students may seek representation from the Students' Union Advice Centre or may choose to be accompanied by a friend. There is no objection if the person is legally qualified, providing they understand and respect the nature of the proceedings and do not adopt an overly adversarial or legalistic stance. Students who lodge an appeal may not be represented in their absence, unless there are exceptional reasons (such as a health condition) which mean this is necessary. Members of the student's supervisory team and/or Research Degree Tutor(s) may not accompany the student.

9.5 Allegations of Unfair Discrimination

Where unfair discrimination is alleged in writing at the time of making an appeal, a person with appropriate expertise (e.g. with respect to race or gender) maybe invited to attend any subsequent appeal hearing.

9.6 Appeals Against Progression Decisions

The following procedures govern appeals against progress decisions by the Research Degrees Board or Progression Board student for students on research degrees and students undertaking the research element in Professional MD, Professional MCh and Professional Doctorate programmes.

The procedures are not for resolving issues arising from supervision. These should be dealt with through the Annual Assessment of Progress Exercise or the University's Complaints procedure within the academic year in which they arise.

9.6.1 Principles

The Appeals process is a two-stage process. The first stage must be completed before the second stage can be invoked (except where the appeal is against a decision of a Dean/Head of School in relation to an allegation of unfair means).

An appeal in relation to the progression recommendation of the Assessors may only be made following notification of the progression recommendation to the student by the Research Student Registry.

9.6.2 Grounds for Appeal

A request for an appeal against a progression decision shall be valid only if it is based on one or more of the following grounds:

1. that the Assessors have given insufficient weight to extenuating circumstances;
2. that the student's progress has been adversely affected by extenuating circumstances which the student has for good reason been unable to make known to the Assessors;
3. that there has been a material administrative error at a stage of the assessment process, or that some material irregularity has occurred;
4. that the assessment procedure has not been conducted in accordance with the approved regulations.

9.6.3 Guidance on Appeals

If a student is not sure whether a progression appeal is appropriate, he/she should discuss the matter with one of their supervisors or their School Research Degree Tutor. A student may also seek independent advice and support from the Students' Union Advice Centre. A student may seek a meeting with the Dean/Head of School at any time without invoking the Appeals Procedure.

9.6.4 First Stage Progression Appeal

If, after the official notification of the assessment decision, a student considers that an appeal is justified, he/she must lodge the appeal within 14 days with the Dean/Head of School. Where the Dean/Head of School is part of the supervisory team either the Executive Dean/Faculty Director of Research and Innovation/Head of School or Head of a Centre of the School will assume responsibility for hearing the appeal.

This appeal must be in writing and must state the grounds on which the appeal is sought and should be accompanied by appropriate documentary evidence. The appeal should be submitted on the application form available from the Research Student Registry.

The Dean/Head of School hears the appeal and is responsible for arranging a time with the student, usually within 14 days of receipt of the request for appeal.

At the First Stage Appeal meeting, the student may be accompanied by a representative or friend who may be a member or employee of the Students' Union but not a member of the supervisory team. The Dean/Head will ensure that the student is invited to present his/her case at the meeting so that the student is given the opportunity to amplify the written case. The Dean/Head will ask questions and consider evidence to enable him/her to make a decision on the student's case.

In all cases, the student will be informed of his/her right to a Second Stage Appeal if he/she is dissatisfied with the outcome of the First Stage Appeal.

The Dean/Head is responsible for ensuring the student is informed both verbally (at the meeting) and in writing of the outcome of the appeal which may be:

- The appeal is upheld and referred back to the Research Degrees Board or Progression Board for reconsideration
- The appeal is upheld and the Chair of the Research Degrees Board or Progression Board takes immediate action on behalf of the Research Degrees Board or Progression Board
- The appeal is turned down

The Dean/Head will be responsible for preparing a report of the First Stage meeting. This report shall be sent to the student and to the Research Student Registry within 14 days.

9.6.5 Second Stage Progression Appeal

If the appeal is not satisfactorily resolved at the First Stage, a written appeal must be submitted by the student to the Head of Assessment and Awards within 14 days of the date of the First Stage Appeal. This written appeal must state the grounds on which the appeal is sought and should be accompanied by appropriate documentary evidence. The appeal should be submitted on the application form available from the Research Student Registry.

9.6.6 Composition of the Appeals Panel

The Appeals Panel membership shall be drawn up by the Appeals Officer in accordance with the following composition:

- Chair: Vice-Chancellor's nominee
- Members: At least 2 senior members of staff with appropriate expertise in research degrees and their examination

Neither the Chair nor any member of the panel may have a direct interest in the student's case. The Chair shall rule in the event that any objections are raised to the composition of the panel by the student.

9.6.7 Documentation for Second Stage Progression Appeal Panels

The Appeals Officer will collate the following information:

- the written application statement of the grounds for appeal
- the report and minutes from the First Stage Appeal meeting
- the report from the Chair of the Research Degrees Board/Progression Board and supporting documentation e.g. minutes, application and transfer report.
- annual assessment of progress documentation or other documentation from the supervisory team concerning the academic performance of the student concerned.

The Appeal Panel shall scrutinise this documentation and determine if the grounds for the appeal are valid. If it is not valid the appeal will not proceed and the appeal will be rejected.

9.6.8 Powers of the Appeals Panel

The powers of an Appeal Panel are:

- to determine the validity of the grounds for the appeal. The appeal will not proceed if the Panel does not deem the grounds to be valid;
- to uphold the appeal based on the evidence presented and to refer the matter back to the Research Degrees Board or the Progression Board;
- to turn down the appeal and to uphold the original decision of the Assessors.

9.6.9 Procedure for Hearing Second Stage Progression Appeal

The student will be informed by the Appeals Officer of his/her right to appear before the Appeals Panel. The student may be accompanied by a representative or friend who may be a member or employee of the Students' Union.

The School/Centre will be represented by the Dean/Head of School.

The Appeals Officer shall ensure that all participants in the appeals proceedings receive a copy of the Research Degree Regulations and any other documentary evidence.

The procedure for the hearing will be as below:

- Introductions;
- The student is asked to confirm that he/she is satisfied with the impartiality of the Panel;
- The Chair of the Panel shall rule on any objections that may be raised;
- The Chair explains the powers of the Panel and details its procedures;
- The Dean/Head of School states the position and reasons for the decision reached on progression;
- The student presents his/her case;
- Questions from Panel members and/or the student/Dean/Head of School;

- The Dean/Head of School's final comments;
- Student's final comments;
- Private meeting of the Panel to determine the outcome of the appeal.
- The decision of the Panel is given verbally to all parties.

9.6.10 Procedure following the Hearing of the Second Stage Progression Appeal

The nominated Appeals Officer shall be responsible for ensuring that the student and the Dean/Head of School are informed in writing of the decision of the Appeal Panel and the reasons for the decision, within 7 days of the meeting of the Appeal Panel.

Where an Appeals Panel upholds an appeal against the Progression decision, the matter will normally be referred back to the Research Degrees Board or Progression Board for reconsideration. The Board may take action at this stage or may consult with the Dean/Head of School or Director of Studies.

The Dean/Head of School will ensure that the student is informed of the reconsidered decision within 14 days of the meeting of the Appeal Panel.

In cases where an Appeals Panel upholds the appeal on the grounds of procedural or other irregularities and the Research Degrees Board does not subsequently modify the decision after reconsideration of the circumstances, the Academic Board has the power to annul the decision and to make alternative arrangements for the assessment of the student.

9.6.11 Independent Review

Upon completion of the final stage of the University's internal Procedure for Appeals Against Progression Decisions, the student will be provided with a Completion of Procedures letter advising that if that he/she is not satisfied with the outcome of the appeal, he/she may pursue the matter further by submitting a Scheme Application form to the Office of the Independent Adjudicator for Higher Education (OIA). A Scheme Application form must be submitted within 12 months of the date of Completion of Procedures letter. Details of the OIA scheme may be found at: www.oiahe.org.uk

9.7 Appeals against Examination Decisions

The following procedures govern appeals against examination decisions by students for research degrees and students undertaking the research element in Professional MD, Professional MCh and Professional Doctorate programmes.

The procedures are not for resolving issues which constitute a complaint concerning the research degree programme, supervision or resources/facilities for that programme. These should be dealt with at the time of the issue and before submission of the thesis for examination either through Annual Assessment of Progress Exercise or the University's Complaints procedure.

9.7.1 Principles

An appeal in relation to the recommendation of the examiners may only be made following notification of the examination recommendations to the student by the Research Student Registry.

An appeal cannot be made against the academic judgement of the examiners, properly exercised. Appeals on this basis will be ruled invalid.

9.7.2 Grounds for Appeal

A request for an appeal against an examination decision shall be valid only if it is based on one or more of the following grounds:

1. that the student's performance has been adversely affected by extenuating circumstances of which the examiners were not aware at the oral examination and the student has for good reason been unable to make known at the time;
2. that there has been a material administrative error at a stage of the examining process, or that some material irregularity has occurred;
3. that the assessment procedure has not been conducted in accordance with the approved regulations.

9.7.3 Guidance on Appeals

If a student is not sure whether an appeal is appropriate, he/she should discuss the matter with the Chair of the Research Degrees Sub-committee.

9.7.4 Examination Appeal

If, after the official notification of the examination recommendation, a student considers that an appeal is justified, he/she must lodge the appeal within 28 days with the Head of Assessment and Awards.

This appeal must be in writing and must state the grounds on which the appeal is sought and should be accompanied by appropriate documentary evidence. The appeal should be submitted on the application form available from the Research Student Registry.

9.7.5 Composition of the Appeals Panel

The Appeals Panel membership shall be drawn up by the Appeals Officer in accordance with the following composition:

- Chair: Vice-Chancellor's nominee
- Members: At least 2 senior members of staff with appropriate expertise in research degrees and their examination

Members of the Appeals Panel shall have had no previous involvement in the case. Previous involvement is defined as having supervised, acted as referee for either the Research Programme Approval or Transfer application, acted as Research Degrees Tutor for the student, advised, or counselled the student about the project, or advised or counselled the supervisors about matters pertaining to the project. Consideration of the student's Research Programme Approval and/or subsequent Transfer to PhD as a member of the Research Degrees Board at a meeting does not constitute involvement.

9.7.6 Notification to the student

The student will be notified of the constitution of the Appeals Panel and the representative for the University no later than 14 days prior to the hearing. Any objections to the membership of the Panel must be lodged in writing with the Appeals Officer no later than 7 days prior to that hearing. The Chair shall rule in the event that objections are raised with regard to the composition of the Appeal Panel.

9.7.7 Documentation for Examination Appeal Panels

The Appeals Officer will collate the following information:

- the written application statement of the grounds for appeal
- Examiners' reports
- the student and the examiners may be asked to give further information.

The Appeal Panel shall scrutinise this documentation and determine if the grounds for the appeal are valid. If it is not valid the appeal will not proceed and the matter will be closed.

9.7.8 The Power of Appeal Panels

The powers of the Appeal Panel are:

- i. to uphold the appeal based on the evidence presented and to refer the matter back to the examiners to reconsider their decision in accordance with the University's approved regulations and procedures; or
- ii. to declare the examination null and void and that the Research Degrees Board appoint new examiners; or
- iii. to turn down the appeal and to uphold the original decision of the examiners; or
- iv. to postpone a final decision on the appeal subject to seeking further clarification, evidence or advice as necessary.

9.7.9 Procedure for Hearing the Examination Appeal

The student will be informed by the Appeals Officer of his/her right to appear before the Appeals Panel. The student may be accompanied by a representative or friend who may be a member or employee of the Students' Union.

The University will be represented by or his/her nominee.

The Appeals Officer shall ensure that all participants in the appeals proceedings receive a copy of the Research Degree Regulations and any other documentary evidence.

The procedure for the hearing will be as below:

- Introductions;
- The student is asked to confirm that he/she is satisfied with the impartiality of the Panel.
- The Chair of the Panel shall rule on any objections that may be raised;
- The Chair explains the powers of the Panel and details its procedures;
- The states the position and reasons for decision reached;
- The student presents his/her case;
- Questions from Panel members and/or the student/
- The's final comments;
- Student's final comments;
- Private meeting of the Panel to determine the outcome of the appeal.
- The decision of the Panel is given verbally to all parties.

9.7.10 Procedure following the Hearing of the Examination Appeal

The nominated Appeals Officer shall be responsible for ensuring that the student and the are informed in writing of the decision of the Appeal Panel and the reasons for the decision, within 7 days of the meeting of the Appeal Panel.

Where an appeal is turned down, the student has no further right of appeal other than to the Office of the Independent Adjudicator.

Where an Appeals Panel upholds an appeal against the examiners' decision and refers the decision back to the examiners for reconsideration, the internal examiner will manage and collate the response of the examiners.

The Appeals Officer will ensure that the student is informed of the reconsidered decision within 14 days of receiving such decision.

In cases where an Appeals Panel upholds the appeal on the grounds of procedural or other irregularities and the examiners do not subsequently modify the decision after reconsideration of the circumstances, the Academic Board has the power to annul the decision and to make alternative arrangements for the assessment of the student.

9.7.11 Independent Review

Upon completion of the final stage of the University's internal Procedure for Appeals Against Examination Decisions, the student will be provided with a Completion of Procedures letter advising that if that he/she is not satisfied with the outcome of the appeal, he/she she may pursue the matter further by submitting a Scheme Application form to the Office of the Independent Adjudicator for Higher Education (OIA). A Scheme Application form must be submitted within 12 months of the date of Completion of Procedures letter. Details of the OIA scheme may be found at: www.oiahe.org.uk

10. Policy on Proof-reading for Research Degree Programmes and the Research Element of Professional Doctorate Programmes

This policy is to clarify the use of third parties for proof-reading for student's written work for Research Programme Approval, Transfer from MPhil to PhD, the thesis (or synoptic commentary) and any work which later forms part of the final thesis. This applies to all written work or the thesis, whether draft or a final version, submitted for these assessments whether the proof-reading is for the whole or part of the work.

10.1 Principles

- (i) Each student's work must be solely his/her own work.
- (ii) Students at postgraduate level are expected to have developed their own proof-reading skills to a suitably advanced level for the award and be aware of the difference between proof-reading and editing. However, all students are encouraged to have their theses proof-read. But editing is the sole responsibility of the student.
- (iii) Students should receive advice and guidance on the drafting of any work and the thesis for submission from their supervisors and any designated advisors. Supervisors will assist with proof-reading.
- (iv) Students who consider they need assistance on the use of English should contact WISER.
- (v) Students must not employ any person to write any parts or the complete work on his or her behalf, whether from professional companies, family, personal friends, other students or any other person except where an amanuensis has been appointed for the student as part of the student's disability support through UCLan's Disability Service. Inadequate skills in written English will not be justification for use of an amanuensis or a writer.
- (vi) Students must make all alterations to their work or their thesis themselves.
- (vii) Students are responsible for interpreting the advice of any proof-reader employed.

10.2 Engagement of third party proof-reading services

If a student employs a third party then the student is responsible for acknowledging the assistance with proof-reading. Any assistance must be acknowledged in a statement in the work or the thesis.

The student is also responsible for clarifying the limits for the assistance. It is a requirement that:

- the student provides the third party with a copy of this policy and obtains a confirmatory statement of acceptance from that party;
- the student provides the third party with paper copies for annotation;
- students should retain the copy of the proof-reader's annotated work until the assessment process is complete.

Warnings: students are warned that any use of third party proof-reading services must not compromise their authorship of the work submitted, and, in particular, that the substance of work must remain the student's own. Students are also warned that they will be held responsible for work which they submit, and that the use of third party services will not be accepted in mitigation of any deficiencies in the work.

10.3 Unfair Means to Enhance Performance

Where a student does not follow the policy and is considered to have used a third party for non-permitted forms of assistance then the matter will be dealt with under the Unfair Means to Enhance Performance procedures.

Students must ensure they are aware of and abide by the regulations and policies.

10.4 Permitted assistance and advice

In the main text, tables, diagrams, footnotes, endnotes and illustrations proof-readers may suggest corrections with regard to:

- ✓ Spelling and punctuation
- ✓ Formatting
- ✓ Compliance with English conventions on grammar and syntax
- ✓ Consistency of page numbers, headings and footnotes

10.5 Non-permissible assistance and advice

Changing any text, table diagram, or illustration in the following ways by proof-readers (or as a result of their advice) is not permitted:

- X to clarify arguments or ideas
- X to develop arguments or ideas
- X to change arguments or ideas

- X to correct factual information
- X to translate work in to English
- X to reduce the length of the work
- X to assist with referencing

10.6 Method for third party advice

Access to the source document to be submitted for the assessment should remain solely with the student and not be passed to the third party.

The third party undertaking the proofreading should be given the advice by a means which provides a record showing the changes recommended.

The student must consider the changes advised, interpret them accordingly and undertake the changes personally. Students are responsible for ensuring that the advice given does not alter the intended meaning or use subject specific terminology in the wrong context.

11. Policy on Conflicts of Interest in Supervision Examination and Administration of Research Degrees

11.1 Purpose

The aim of this Policy is to ensure preventative action is taken wherever possible to avoid conflicts of interests, whether potential or actual, perceived or alleged and that such conflicts are managed transparently to avoid any compromise to the professional integrity of the University's staff and its examiners.

The Policy is intended to do the following:

- clarify what is considered to be a conflict of interest
- ensure that there are no issues which could impede fair and appropriate supervision and that any assessment of progress is unbiased and independent
- ensure that there is independence and impartial evaluation in the examination process
- clarify the circumstances where individuals who are proposed as supervisor, advisor, referee, research degree tutor, examiner or independent chair at examination would not be appropriate to undertake the role
- clarify where a change in circumstances renders continuation in the role of supervisor, advisor, referee, research degree tutor, examiner or independent chair as being no longer viable.

The policy aims to protect all parties: the student, supervisors, advisors, referees, research degree tutors, examiners and independent chairs as well as the University at admission and throughout the period supervision and examination from complaints of bias or unfair practice and to ensure the reputation of the University's awards is not compromised.

In applying the policy, particularly in cases where remedial action is required, staff are expected to act with due sensitivity and to ensure all parties including the student understand the position and the remedial action taken.

It should be noted that the examples in Appendix 1 do not constitute an exhaustive list and careful consideration must be given to all those to be given the roles above to ensure there are no conflicts of interest or that the mitigating circumstances are sufficient to warrant the appointment.

11.2 Types of relationships where of conflict of interest arise

A conflict of interest can be perceived or actual. Its existence does not necessarily arise due to unethical or unlawful behaviour, it may just be a coming together of circumstances. Conflicts of interest might be legal, ethical, moral, financial, personal, academic or of another nature:

- Professional and personal relationships between supervisors/advisors/examiners/ referees/research degrees tutors/ independent chairs and the student;
- Professional and personal relationships between any of the parties: supervisors/advisors/examiners/referees/research degrees tutors/ independent chairs
- Relationships between examiners and the University, eg external examiner for a taught course, visiting academic or honorary status.

11.3 Perceived conflicts of interest and damage to the University's reputation

Situations which give rise to the perception that there is a conflict of interest should also be addressed as they have the potential to damage the University's reputation. A common example is where the examiner has had personal contact with the candidate or supervisor and this may give rise to the perception that the examiner may be dealing with the candidate in a less than objective manner. Gifts are the cultural norm in some countries but acceptance of a gift prior to a transfer viva or examination might lead to a perception of lack of objectivity.

11.4 Disclosure

All parties involved should disclose and justify potential or real conflicts of interest prior to the establishment of supervisory or examination arrangements.

Any third parties who become aware of a conflict of interest should raise the matter with the person/persons who provide the final authorisation of any arrangements relating to the supervision, assessment of progress or examination of the candidate.

All gifts eg from a student, should be disclosed in line with the University's policy.

Consideration of whether any conflicts of interest exist must be determined prior to each of the following:

- nomination for an interview panel for a studentship or general admission
- nomination of supervisors at admission
- nomination of the research degrees tutor for admission and after enrolment
- nomination of a referee
- nomination of an advisor
- submission of the Research Programme Approval application
- submission and assessment of the Transfer from MPhil to PhD application
- submission for approval of a change of supervisory arrangements
- submission for approval of examination arrangements
- nomination of an independent chair for examination

11.5 Conflicts of interest which arise after appointment

Any changes in circumstances which would give rise to a conflict of interest after nomination or approval of any of the above in Section 4 must be disclosed without delay either to the Head of School or the School's Research Degrees Tutor or the Research Student Registry who will determine what action should be taken. The person taking action should not be associated with the conflict of interest.

11.6 Remedial Action

Conflicts of interest must be addressed in a timely way and appropriate manner

- before any nomination or submission listed in section 4 or
- following a disclosure after an appointment

Responsibility for action

Those providing the final authorisation or if needed by the Head of School.

Where a Head of School is involved this will need to be dealt with by the Executive Dean.

Any person appointed in any of the roles above who identifies that they have a conflict of interest can refuse the role or elect to withdraw from that role and should notify Head of School or the School's Research Degrees Tutor or the Research Student Registry immediately.

11.7 Mitigating circumstances

There may be instances where the conflict of interest is minimal due to the circumstances in which it arises or where it is minimised, for example by the presence of other parties.

Where the School considers the mitigating circumstances mean the conflict of interest can be managed so as not to impede the proper operation of research degree supervision, administration or examination and the objectivity of all parties then the School or Research Degrees Board might approve the proposed supervisor /examiner/ referee/advisor/ research degree tutor/ independent chair.

The conflict of interest must be declared and the case for acceptance should be laid out clearly in any documentation such as the examination arrangements form or a record made and held on the student's file in the Research Student Registry.

11 Appendix 1: Examples of Conflicts of Interest

Notes: For definitions of relative and close family relationship see 11 Appendix 2.

Student

- is a member of staff or under consideration for a post at UCLan (*see examples of Remedial Actions*)
- is in a personal relationship with a supervisor, referee or an examiner, the School's Research Degrees Tutor

Supervisors, Advisors, Research Degree Tutors and Referees

- The proposed supervisor/referee/advisor/ Research Degrees Tutor is studying for their own research degree. (*see Mitigating Circumstances, example 1*)

Two of the proposed supervisors or a proposed supervisor and student/advisor/Research degree tutor proposed referee/and supervisor/student are:

- married; or
- in a personal relationship, or
- are related, or
- are co-residents; or
- members of a common household

A proposed supervisor is:

- the line manager of the student
- line-managed by the student
- the line manager of the referee/another supervisor
- a relative of the student
- has a business and / or has a financial relationship with the student
- has a current professional relationship with the student [excluding that of a dissertation or Master's (by Research) supervisor]

A proposed referee is:

- the line manager of the student
- line-managed by the student/supervisor
- a relative of the student
- has a business and / or has a financial relationship with the student
- has a current professional relationship with the student [excluding that of a dissertation or Master's (by Research) supervisor]

The School's Research Degrees Tutor or the School's Research degrees Tutor for the subject area is:

- the line manager of the student
- line-managed by the student
- a relative of the student
- has a business and / or has a financial relationship with the student
- has a current professional relationship with the student [excluding that of a dissertation or Master's (by Research) supervisor]

Examiners & Independent Chairs

Any proposed examiner who is studying for their own research degree.

Any proposed examiner who has undertaken one or more of the following:

- co-authored a paper with the candidate or supervisor within the last three years (*see Mitigating Circumstances, examples 2 and 3*)
- worked with the candidate on matters regarding the thesis e.g. previous member of the supervisory team or as an advisor
- acted as referee for the transfer (*see Mitigating Circumstances, example 10*)

Any proposed examiner who is or was one of the following:

- in a business and/or financial relationship with the candidate or supervisor or another member of the proposed examining panel in the last five years

Any proposed examiner or independent chair who has undertaken one or more of the following:

- acted as a referee for the candidate for employment
- been an interviewer for a postdoctoral or other research post
- employed the candidate or been employed by the candidate within the last five years
- negotiated to directly employ or be employed by the candidate

Any proposed external examiner or independent chair who is or was one of the following:

- married or in a personal relationship or, is a co-resident or a member of a common household with the candidate or supervisor or another member of the proposed examining panel

Any proposed examiner or the independent chair who is one of the following to the candidate or supervisor or another member of the proposed examining panel:

- a relative
- legal guardian or dependent
- a friend
- associate
- mentor

Any proposed external examiner or independent chair who is or was one of the following:

- a previous research student of the candidate's Director of Studies or second supervisor
- supervisor to another of the candidate's supervisors' students

- in a current professional relationship, such as shared membership of an editorial or grant board or committee (including editorial and grant decision boards), with the candidate or supervisor or another member of the proposed examining panel

Any proposed examiner who has had personal contact with the candidate or supervisor that may give rise to the perception that the examiner may be dealing with the candidate in a less than objective manner.

The external examiner(s) who has taken on one or more of the following roles:

- worked with one or more of the supervisors on a research project (*see Mitigating Circumstances 2 and 3*)
- was a member of staff at UCLan in the past 3 years
- examined three UCLan research degree candidates in the past 5 years
- supervised a UCLan student in the same school in the last 3 years
- an external for a taught course in the school within the last 3 years

Examples of Possible Mitigating Circumstances:

1. The proposed supervisor who is studying for a PhD is to be a second supervisor in a team of three supervisors and this is new area of research at UCLan and their subject research expertise is not available from another source.
2. Mitigating circumstances may exist, where a joint publication has a large author list and where the external examiner and supervisor have not collaborated directly.
3. Mitigating circumstances may exist, where researchers are linked through a joint grant but the grant is held by a large consortium of relatively independent researchers.
4. The submission of the thesis will definitely be outside the time limitation for an external examiner who would otherwise be classed as too frequently appointed.
5. The proposed examiner has recently finished a term as an external examiner for a taught course but is to be one of two external examiners.
6. The proposed examiner is an ex-student of one of the supervisors but has not worked with collaborated or had any professional relationship for over ten years.
7. The proposed advisor will only have a short period where their input is required and the expertise is not available from another source.
8. The relationship relating to the conflict of interest is between the referee and advisor.
9. The family relationship is one of a distant relative outside the immediate (see Appendix 2) and close family relationships (see Appendix 2) and there is no social or other form of relationship.
10. The Internal Examiner was also the Transfer Referee but the School has provided a compelling case with the Exam Arrangements for why the nominee should be appointed ie that no appropriate alternatives are available within the University and no other conflict of interests exist.
11. The School is unable to find and nominate an Internal Examiner with sufficient and appropriate subject expertise for the thesis being examined.

Examples of Remedial Actions

1. Replace the supervisor/ referee/research degrees tutor/examiner with an alternative. (Schools with only one Research Degrees Tutor will need to approach one in another school.)
2. Appoint a second external examiner for students who are members of staff.
3. Change the supervisor studying for a research degree to second supervisor and add a third supervisor.
4. Change a proposed supervisor to an advisor if the expertise is required.
5. Change the independent chair.
6. Where a School is unable to find and nominate an Internal Examiner with sufficient and appropriate subject expertise, the School may nominate an Internal with expertise in the general subject area of the thesis, but mitigate this by nominating a second External Examiner who is an expert in the topic to be examined.

11 Appendix 2: Definitions of terms

Relative means immediate family or close family relationship.

'Immediate family' is defined as follows: spouse or civil partner, son, daughter.

'Close family' relationships include (but this is not intended to be an exhaustive list): unmarried partner, parent, brother, sister, grandparent, grandchild, mother-in-law, father-in-law, sister-in-law, brother-in-law, son-in-law, daughter-in-law, the (unrelated) child of an unmarried partner, as well as half and step members of family.

RESEARCH STUDENT REGISTRY

A large, stylized red graphic consisting of several overlapping curved shapes, resembling a stylized 'R' or a series of waves, positioned behind the main title.

Research Student Progress File

Section 1.1 Research Student Deadlines

Section 1.2 Your Personal Research Degree Timeline

Section 1.3 Checklist of Activities

Section 1.4 Template to Record Supervisory Meetings

Section 1.5 Key Admin Contacts

Please complete the following:

STUDENT'S NAME:

NAME OF SCHOOL:

RESEARCH STUDENT PROGRESS FILE

Your Progress File is your record of your individual activities and achievements throughout your research degree programme. It can be stored electronically (recommended) or on paper.

You should be updating your Progress File throughout your studies and on completion of any activity, training event, presentation, seminar attended etc.

Supporting evidence should be stored with your Progress File. This may take the form of a certificate of attendance, a conference abstract booklet, your transfer report, or notes of your own thoughts and reflections on your learning and skills development etc.

Your Progress File will be viewed by your Supervisory Team and Research Degrees Tutor (RDT) during the end-of-year Annual Progression Monitoring Exercise

SECTION 1.1: Research Student Deadlines

These are the main deadlines for each research degree award and mode of study. Make sure you are aware of your deadlines. Also included is a blank version of the Timeline document you received at Induction. Please transcribe your own deadlines onto this template and remember to update it if you subsequently suspend your studies or change your mode of study or award etc.

SECTION 1.2: Your Personal Research Degree Timeline

You will be issued with a personalised timeline at the compulsory Induction event. Please transfer the information into this section of your Progress File and keep it updated as you continue with your studies.

SECTION 1.3: Checklist of Activities

This is the main section of the Progress File which you should update regularly during each year of your degree.

SECTION 1.4: Template to record Supervisory Meetings

You should be continually assessing your own progress and meeting regularly with your supervisors. A template is provided here to assist you in recording the outcomes of these meetings. Complete one template for each meeting you have with your supervisors and store them with your Progress File to evidence your supervision and the decisions agreed during meetings.

Full-time research students will normally meet their supervisor(s) **every fortnight and no less than once a month** for an uninterrupted supervisory meeting.

Part-time students will normally meet their supervisor(s) **once a month and no less than once every two months**.

Where a project requires a different pattern of supervision meetings, this will be set out in a learning agreement at the start of the research degree.

SECTION 1.1 RESEARCH STUDENT DEADLINES

<u>ACTION</u>	DEADLINE							
	FT PhD via MPhil DEADLINE	PT PhD via MPhil DEADLINE	FT PhD DIRECT DEADLINE	PT PhD DIRECT DEADLINE	FT LLM/MA/ MSc (by Research) DEADLINE	PT LLM/MA/ MSc (by Research) DEADLINE	PT MD (Res) DEADLINE	PT PhD (Published Work) DEADLINE
Attend compulsory Induction event	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks
Agree schedule of meetings with supervisors for the coming year	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks
Agree your individual training plan with your supervisors	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks	Within 2 weeks
Attend compulsory skills training course (compulsory for full-time research students only)	Year 1	Year 1	Year 1	Year 1	Year 1	Year 1	Year 1	<i>Not applicable</i>
DEADLINE FOR SUBMITTING 'RESEARCH PROGRAMME APPROVAL' DOCUMENT	Within 3 months	Within 6 months	Within 3 months	Within 6 months	Within 3 months	Within 6 months	Within 6 months	<i>Not applicable</i>
Annual Progression Monitoring (Part 1) - end-of-year meeting with supervisory team	End of May each year	End of May each year	End of May each year	End of May each year	End of May each year	End of May each year	End of May each year	End of May each year
Annual Progression Monitoring (Part 2) - end-of-year meeting with RDT	June each year	June each year	June each year	June each year	June each year	June each year	June each year	June each year
FINAL DEADLINE FOR SUBMITTING APPLICATION FOR TRANSFER TO PhD	Within 18 months	Within 36 months	<i>Not applicable</i>	<i>Not applicable</i>	<i>Not applicable</i>	<i>Not applicable</i>	<i>Not applicable</i>	<i>Not applicable</i>
Examination arrangements to be submitted by supervisors	Within 30 months	Within 66 months	Within 18 months	Within 42 months	Within 9 months	Within 18 months	Within 30 months	Within 9 months
EXPECTED DATE FOR SUBMISSION OF FINAL THESIS	Within 36 months	Within 72 months	Within 24 months	Within 48 months	Within 12 months	Within 24 months	Within 36 months	Within 12 months

Notes:

- The above deadlines are all calculated from your start date, which is specified on your Offer Letter.
- Tuition fees are payable up to the date of thesis submission.
- Students who do not submit their final thesis by their expected submission date must request permission to submit later and this must be supported by their supervisory team.
- Examination arrangements must be approved before the thesis can be submitted.
- Examination (*viva voce* examination) will usually take place 2-3 months after submission of the thesis.
- While a student would be unwise to submit the thesis for examination against the advice of the supervisors, it is her/his right to do so. Equally, students must not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree.
- Please consult your [Key Admin Contact](#) for deadlines relating to Professional Doctorates.

Key of Abbreviations

FT: Full-time

PT: Part-time

SECTION 1.2 YOUR PERSONAL RESEARCH DEGREE TIMELINE

NAME:		Supervisory Team The supervisory team will be confirmed at Research Programme Approval. All research students will have a Director of Studies and one or more other members in their team.	
Date Printed:		Director of Studies: (D of S)	
Student ID:		2nd Supervisor:	
Mode of Study:		2nd 2nd Supervisor:	
School:		Other Supervisor:	
Programme:		Research Degrees Tutor:	
Proposed Thesis Title:			



START DATE OF PROGRAMME	
Start Date: (for Research Programme Approval) <i>Official Start Date is on your Offer Letter.</i>	
HAS RESEARCH PROGRAMME APPROVAL (RPA) TAKEN PLACE? If NO Latest date for submitting RPA application to referee, via supervisory team: <i>Completion of RDSC2 form is required.</i> Latest date for submission of final completed RPA application: Date Research Programme was approved:	



Deadline for completion of compulsory skills training:	
---	--



TRANSFER TO PhD (<i>PhD via MPhil route programmes only</i>)	
Has Transfer from MPhil to PhD taken place? If No Window opens for Transfer to PhD and Transfer viva to take place: Window closes for Transfer to PhD and Transfer to take place: Date Transfer from MPhil to PhD was approved: <i>Completion of RDSC3 form by Transfer Panel and 'Transfer Viva' is required.</i>	



EXAMINATION PROCESS	
Prompt Date for Examination Arrangements to be in place: Are Examination Arrangements in place? Date Examination Arrangements were approved: Has Thesis Submission taken place? Date Thesis Submission took place: <i>Application of Approval of Examination Arrangements – Completion of RDSC4 form by DofS</i>	



EXPECTED SUBMISSION DATE	
Has permission been granted to work past the Expected Completion Date?	
LAPSE DATE of PROGRAMME:	
Change of Mode of Study has taken place? <i>Completion of RDSC6 form is required</i>	
Total amount of suspension approved: (months) <i>Completion of RDSC7 form is required</i>	

If there has been a change of mode an approved interruption to study, the above deadlines will be affected.
 All forms can be found on the Research Web Page at the Document Library
https://www.uclan.ac.uk/students/research/research_document_library.php

SECTION 1.3 CHECKLIST OF ACTIVITIES

UPDATE THIS SECTION AS EACH ACTIVITY IS COMPLETED DURING YOUR STUDIES
Include dates of attendance, titles of sessions attended, and any comments. Expand each section as required.

In accordance with the requirements of the Research Councils, and in line with the Vitae Researcher-Development Framework, all our research student training courses have been mapped to the Vitae skill domains so that you can be assured you are getting the best skills development.

Go to http://www.uclan.ac.uk/research/study/student_training.php for further information.

1) COMPULSORY RESEARCH STUDENT TRAINING

ACTIVITY	JOINING/ ACCESS INSTRUCTIONS	TITLE OF COURSE ATTENDED	DATES OF ATTENDANCE	COMMENTS
INDUCTION Compulsory for all students	Email your Key Admin Contact or training4researchstudent@uclan.ac.uk	Induction		
		International Orientation (<i>if applicable</i>)		
GRADUATE RESEARCH SKILLS TRAINING COURSE Compulsory for all FT research students	Email your Key Admin Contact or training4researchstudent@uclan.ac.uk	Research Skills Training course		

2) ONLINE SKILLS TRAINING MATERIALS(EPIGEUM)				
ACTIVITY	JOINING/ ACCESS INSTRUCTIONS	TITLE OF ONLINE CHAPTER	DATE COMPLETED	COMMENTS
Online Graduate Research Skills materials (EPIGEUM)	Login to the Student Portal			

3) ADDITIONAL TRAINING NOT COVEREDABOVE			
ACTIVITY	TITLE OF COURSE(S) ATTENDED	DATES OF ATTENDANCE	COMMENTS

Additional training	List other training you have attended, internal or external, or module(s) relevant to your project, as agreed with supervisory team.		
---------------------	--	--	--

4) COMPULSORY TRAINING - APPROVED EXEMPTIONS (if appropriate)

ACTIVITY	TITLE OF COURSE ATTENDED	DATES OF ATTENDANCE	COMMENTS
Exemption approved	This might be research skills training you have undertaken in the last 2 years as part of a master's programme or experience in recent employment. Indicate what exemption you are applying for and attach evidence (eg copy of master's certificate). This must be agreed by your DoS and your RDT and sent to the Research Student Registry (help4researchstudent@uclan.ac.uk)		

5) ANNUAL PRESENTATION

ACTIVITY	GUIDANCE NOTES	DATE ACTIVITY COMPLETED	COMMENTS
----------	----------------	-------------------------	----------

ANNUAL PRESENTATION	<p>ALL research students are expected to give at least one presentation each year.</p> <p><i>Include the date, title of the presentation, mode of presentation (poster, oral, written report) and the audience (internal research group, School event, external conference etc)</i></p>		
PRACTICE VIVA VOCE EXAMINATION	<p><i>Usually takes place after submission of the final thesis.</i></p>		

6) RESEARCH PROGRAMME APPROVAL		
ACTIVITY	DATE ACTIVITY COMPLETED/APPROVED	COMMENTS
RESEARCH PROGRAMME APPROVAL <i>FT – within 3 months</i> <i>PT – within 6 months</i> <i>of start date</i>		

7) ETHICAL APPROVAL				
ACTIVITY	NAME(S) OF ETHICS COMMITTEE <i>ie UCLan e-ethics committee, other internal ethics committees, or any external ethics committees (as appropriate).</i>	DATE OF APPROVAL	APPROVAL CODE (if applicable)	LENGTH OF APPROVAL
ETHICAL APPROVAL <i>Must be in place before any data protection takes place</i>				

8) TRANSFER TO PhD (PhD via MPhil programmes only)		
ACTIVITY	DATE ACTIVITY COMPLETED/APPROVED	COMMENTS
<div>TRANSFER TO PhD</div> <div>FT – within 12-18 months</div> <div>PT – within 24-36 months</div> <div>of start date</div>		

9) OTHER ACTIVITIES				
ACTIVITY	GUIDANCE NOTES	DATE OF ACTIVITY	TITLE	COMMENTS
OTHER ACTIVITIES	<i>Include any other activities not covered elsewhere and indicate the titles and dates of attendance or completion.</i>			

SECTION 1.4: TEMPLATE TO RECORD SUPERVISORY MEETINGS

Template to Record Supervisory Meetings

Complete one template for each supervisory meeting you have. Each section can be expanded as required.

Name of Research Student:

Name of Supervisors present:

Current Title of Project:

Date and Time of Meeting:

Summary of activities since last meeting:

Comments by Supervisors [Continue on separate sheet if necessary]

Comments by Research Student [Continue on separate sheet if necessary]

Agreed plans for period before the next meeting

[Please include an agreed plan for the next research period, including training plans, if applicable]

Proposed date and time of next meeting:

SECTION 1.5 KEY ADMIN CONTACTS: ENROLMENT TO AWARD

If you have questions about the Progress File, please contact your Key Admin Contact in the Research Student Registry:

Key Admin Contact: Margaret Fisher
Email: help4researchstudent@uclan.ac.uk
Tel: +44 (0)1772 892708
Room: Harris Building, room HB104

Faculty of Business, Law, & Applied Social Studies

School of Business
School of Management
School of Social Work, Care, & Community
Lancashire Law School
Centre for Excellence in Teaching and Learning (CELT)

Faculty of Culture and the Creative Industries

School of Art, Design, & Fashion
School of Journalism, Media, & Performance
School of Humanities and the Social Sciences
School of Language and Global Studies

Key Admin Contact: Clare Wiggans
Email: help4researchstudent@uclan.ac.uk
Tel: +44 (0)1772 894647
Room: Harris Building, room HB104

Faculty of Health and Well Being

School of Nursing
School of Community Health and Midwifery
School of Health Sciences
School of Sport and Wellbeing

Key Admin Contact: Clare Altham
Email: help4researchstudent@uclan.ac.uk
Tel: +44 (0)1772 893744
Room: Harris Building, room HB104

Faculty of Science & Technology:

School of Engineering
School of Forensic and Applied Sciences
School of Physical Sciences and Computing
School of Psychology

Faculty of Clinical and Biomedical Sciences:

School of Dentistry
School of Medicine
School of Pharmacy and Biomedical Sciences

Appendix 2: Annual Assessment of Progress Exercise: Forms

RESEARCH STUDENT REGISTRY

ANNUAL ASSESSMENT OF PROGRESS EXERCISE GUIDANCE NOTES & FORMS

Please note the following actions:

ACTION
<ul style="list-style-type: none">STUDENT updates their Progress File and completes either REPORT A (end of year self-assessment report) or REPORT E if returning to study following authorised interruption of study of 3 months or longer.STUDENT emails the entire document to each member of the supervisory team with their supervisory records for the year.
<ul style="list-style-type: none">STUDENT meets Supervisory teamSUPERVISORY TEAM reviews the student's Progress File and the completed reports.SUPERVISORY TEAM contribute to completion of REPORT B.DIRECTOR OF STUDIES emails the entire document to the RDT.
<ul style="list-style-type: none">STUDENT meets with the RDTRDT reviews the student's Progress File, the student's completed reports, and the Supervisory Team report.RDT completes REPORT C.RDT emails the entire document to the Key Admin Contact and the Head/Dean of School.
Progression Board takes place
If remedial work is required, this carried out over July and August: <ul style="list-style-type: none">STUDENT sends the remedial work to the supervisory team by the given deadline.STUDENT meets with the Supervisory Team.DIRECTOR OF STUDIES updates REPORT B.DIRECTOR OF STUDIES emails the entire document to the Key Admin Contact, the RDT, and Head/Dean of School.
Reassessment Board takes place

The RDT meeting

- If the School RDT is a member of a student's Supervisory Team, an alternative RDT must be sought either from within or outside of the School. RDTs can make their own informal arrangements to share RDT interview responsibility where there are differences in workload.
- This meeting provides students with access to someone outside of their supervisory team to discuss issues of concern. It also allows the RDT to assess whether there are any general issues relating to the research environment which should be raised with the Head/Dean of School.
- Students should contact their Key Admin Contact for the name of their RDT.

Students on an authorised interruption of study on 31st May in the current year

- Students on an authorised interruption of study for less than three months as of 31st May, are required to complete the standard Annual Assessment of Progress Exercise on their return to study. Until this is completed, the student will be recorded as "Interrupted" by the Progression Board.
- Students on an authorised interruption of study for three months or more as of 31st May, are required to complete REPORT E: "Return to Study" and meet with their Supervisory Team and their RDT.
- Students who have a continuous authorised interruption of study covering both the July and September Progression Boards will be required to complete REPORT E: "Return to Study" on their return.

Students who start on 1st April or 1st July in the current calendar year

- These students are not required to take part in this year's monitoring exercise, but only have a short meeting with their RDT at the end of August to check that work has started and the facilities, supervisory arrangements etc are satisfactory, and submit a list of the supervisory meetings held so far. Full participation in the exercise will take place the following year.
- RDTs complete REPORT D after meeting the student and send this to the Key Admin Contact.

Students who are approaching their expected submission deadline

- Students with an expected submission date after 1st August in the current calendar year must indicate on REPORT A whether they will be submitting by this deadline or request permission to submit after this date. The Director of Studies confirms in REPORT B whether this request is supported and viable.

Students who have submitted their theses

- Students who have submitted and are either awaiting their viva exam or are completing amendments after their viva has taken place, are exempt from the Annual Assessment of Progress Exercise. However, they are required to submit their supervisory records for the year.

Progression criteria

- In order to progress from one year to the next, students have to be satisfactorily enrolled and have paid the correct fees and complete the Annual Assessment of Progress Exercise. Individual progression criteria must be agreed and will include the following:
 - ✓ Attendance at Induction (Year 1 only).
 - ✓ Working in accordance with standard safety protocols and UCLan's Code of Conduct for Research.
 - ✓ Attendance at any training sessions identified with the Director of Studies and successful completion of the agreed research training programme.
 - ✓ Attendance at regular meetings with the Director of Studies and supervisory team, including agreeing a schedule of research work and timescales, and presentation of written material within agreed deadlines.
 - ✓ Completing Research Programme Approval on time.
 - ✓ Transfer to PhD on time (PhD via MPhil students only).
 - ✓ Maintenance of adequate laboratory notebooks (laboratory-based projects).
 - ✓ Giving at least one presentation per year (both full-time and part-time students).
 - ✓ Demonstrating an understanding of the contemporary context of the research.
 - ✓ Attendance at conferences as required, subject to available resources.

Progression recommendations

- Individual student recommendations for the current year are ratified at the Progression Board meeting each July and students are notified formally of the outcome. If the recommendation is 'Refer', a student will be asked to complete remedial work in July and August and then meet with their Supervisory Team and RDT. The student will then be considered by the September Reassessment Board.
- Students are notified by email immediately after the Board of the recommendations agreed at assessment and reassessment. Students who are recorded as 'referred' or 'interrupted' (because of an authorised interruption of study) will also receive copies by post.
- The available recommendations are:

PROGRESS TO NEXT ACADEMIC SESSION	Student is progressing satisfactorily. If progress is slow or is giving cause for concern, but not to such an extent that the student should be prevented from progressing, these concerns should be documented by the supervisors or RDT on REPORT C with advice on the work required the following year. If necessary, specific action and deadlines should be provided to ensure that the student remains on schedule.
CONTINUE TO MPhil ONLY	(PhD via MPhil students only). If a student has successfully transferred to PhD but is not making sufficient progress, progression to the next academic session can be allowed on the basis that the target award is changed to MPhil.
REFER	This recommendation is used if a student has not yet made enough progress to justify continuing into the next academic session or where remedial work is required to get the project back on course. This work will be carried out over July and August and will be reassessed in September. Students will be automatically referred if i) they have not completed 'Research Programme Approval' or Transfer to PhD by the published deadlines, or ii) not taken part or completed the Annual Assessment of Progress Exercise. Students will be required to complete these processes successfully before progression can be confirmed.
INTERRUPTION OF STUDY	This recommendation is used for students who i) are on an authorised interruption of study as of 31 st May, ii) have returned from an authorised interruption of study since 31 st May and an assessment of progress has not yet taken place, iii) are due to return from an authorised interruption of study before the start of the next academic year.
FAIL	This recommendation cannot normally be agreed until a student has been given an opportunity to complete remedial work. If progress is still unsatisfactory at the Reassessment Board, a fail recommendation will be agreed.

REPORT A: End-of-Year Student Self-Assessment Report

Provide comments below. Each section can be expanded as required.

- 1. Provide a summary of work undertaken during the year, including a summary of your achievements and plans. Students who have recently completed 'Research Programme Approval' or Transfer to PhD can provide a short summary of work undertaken since this activity.**

- 2. Evaluate the extent to which you have met the research objectives which were agreed with your supervisory team for this academic year or at the start of your programme.**

- 3. Reflect on your progress, especially on actions taken to meet identified learning and skills development needs (eg what were the key learning points from your training programme).**

- 4. Identify your strengths, weaknesses, opportunities, and problems identified this year.**

- 5. Evaluate the skills training you have undertaken this year, including Induction (as appropriate).**

6. Consider whether you have the right facilities and support to complete your project.	
7. Evaluate your experience as a research student this year both in your School and more generally at UCLan.	
8. Project plan for the next 12 months. Provide details of your main objectives and targets for next year, how you are going to progress these, and indicate deadlines. If your EXPECTED submission date is within the next 12 months, or has already passed, and you are not on target to submit on time, you must apply to submit after this date. Provide an explanation of the work yet to be completed with a timeline. (<i>Submission after your expected submission date must be supported by your supervisors.</i>)	
Expected submission date:	
Proposed date for final submission of thesis:	

Now email the Annual Assessment of Progress forms and your Progress File to your Director of Studies and second supervisors before your Supervisory Team Meeting takes place.

REPORT B: Supervisory Team Report

(To be completed by the Director of Studies)

Date of meeting:			
Names of <u>ALL</u> Persons Present at Meeting:			
Summary of student's progress with their project			
Is the research student currently on target to complete the award by the expected submission date?	YES	NO	
Was Research Programme Approval completed within the appropriate regulatory timescale?	YES	NO	
<u>PhD via MPhil students only</u> Was Transfer to PhD completed within the published timescales (ie FT: 12-18 months; PT: 24-36 months unless otherwise specified at the Research Programme Approval stage)?	YES	NO	N/A
<u>Permission to submit the thesis after the expected submission date.</u> If your student has requested in Section 8 of REPORT A to submit their thesis after their expected submission date, does the Supervisory Team support this request and is the plan and proposed timeline achievable?	YES	NO	
If the answers to any of the above questions are NO, note any issues and how they will be resolved:			
Record of Supervision			
Number of supervisory team meetings held during the year:			
If there have been issues or concerns during the year regarding supervision, please comment:			
Project Governance			
Are the student's ethical approvals up-to-date?	YES	NO	
Is the student working in accordance with research governance protocols: eg ethical standards, Data Protection, safety protocols:	YES	NO	N/A
Is the student maintaining appropriate Laboratory Notebooks?	YES	NO	N/A
If the answers to any of the above governance questions are NO, note any issues and how they will be resolved:			
<u>INTERNATIONAL STUDENTS ONLY</u> Has the project changed so that new ATAS approval is required?			
Resources and facilities			
Are the resources available to the student sufficient and appropriate?	YES	NO	
If the answer to the above question is NO, note any issues and how they will be resolved:			
Summary of progress with programme of related studies			
<u>First years only</u> Has the student attended the <u>compulsory</u> University Induction Event?	YES	NO	
Has the student attended and completed the compulsory skills training course this year? (<u>compulsory for full-time students only</u>)	YES	NO	
Has the student attended equivalent skills training this year?	YES	NO	

<u>All years</u> Has the student attended any research skills training this year?	YES	NO
Has the student given at least one presentation during the year?	YES	NO
Has the student participated and satisfactorily completed their programme of related studies?	YES	NO
If the answer to any of the above questions is NO, state the remedial action required by the student during the referral period, as appropriate:		
Supervisory Team Assessment of Progression during the Academic Year <i>Comment on progress with the project, academic abilities, technical abilities, progress with training, attendance, efficient use of time, record keeping, summary of any problems or resource issues identified and resolutions, personal reflection on and recording of learning/achievement etc</i>		
Supervisory Team's Recommendation to the RDT and Head/Dean of School Delete as appropriate to indicate the team's agreed recommendation: <ul style="list-style-type: none"> • Progress to next academic session • Continue to MPhil only (students on PhD via MPhil programmes only) • REFER • Interruption of Study (students with an authorised interruption of study only) 		
If the student has been REFERRED , indicate the remedial work to be completed by 1 st September:		

For ALL students, indicate the main progression criteria for the next 12 months which will be reviewed during next year's Annual Assessment of Progress Exercise:

If any general issues have arisen during this exercise which should be referred to the School for action, indicate here:

Reassessment

To be completed only if a student was REFERRED at the Summer Assessment Board and required to complete remedial work by 31st August

Have the referral conditions been completed satisfactorily?

YES

NO

If NO, please comment:

Supervisory Team or RDT's Recommendation

Delete as appropriate to indicate the team's agreed recommendation after reassessment:

- **Progress to next academic session**
- **Continue to MPhil only (students on PhD via MPhil programmes only)**
- **REFER**
- **Interruption of Study (students with an authorised interruption of study only)**

When completed, Director of Studies forwards this entire document along with the student's Progress File and REPORT A to the RDT.

Following any REASSESSMENT, Director of Studies updates the above

REPORT C: RDT Report

Date of meeting:

Present:

Records of supervision seen?	YES	NO
------------------------------	-----	----

Has supervision been satisfactory?	YES	NO
------------------------------------	-----	----

<u>Final year students only</u> Is the final year programme and timeline appropriate and achievable?	YES	NO
---	-----	----

RDT's comments

RDT's Recommendation to the Head/Dean of School

Delete as appropriate to indicate your recommendation:

- Progress to next academic session
- Continue to MPhil only
- REFER
- Interruption of Study (students with an authorised interruption of study only)

I agree with the recommendations of the supervisory team (including referral work, as appropriate):	YES	NO
---	-----	----

If the answer to the above questions is NO, please comment:

When completed, the RDT emails REPORT A, REPORT B, AND REPORT C to the Key Admin Contact Research Student Registry copying in the Head/Dean of School if/as appropriate

REPORT D:**RDT Report for students starting 1st April or 1st July this calendar year**

Date of meeting:

Present:

Records of supervision seen?

YES**NO**

Has supervision been satisfactory?

YES**NO**

RDT's comments on progress since commencement of studies

When completed, RDT emails REPORT D to the Key Admin Contact in the Research Student Registry

REPORT E: Return to Study Report following Authorised Interruption of Study

Provide comments below. Each section can be expanded as required.

1. Provide a short summary of work undertaken before the interruption period.

2. Project plan for the next 12 months. Provide details of your main objectives and targets for next year including how you are going to progress these and indicating deadlines.

3. Consider whether you have the right facilities and support (including supervision) to complete your project.

4. Following your interruption period, does your project remain viable and can it be completed on time?

WITHIN TWO WEEKS AFTER THE END OF YOUR AUTHORISED INTERRUPTION:

- 1) Complete this form and send it to your Director of Studies and Key Contact in the Research Student Registry.**
- 2) Arrange to meet with your Director of Studies to discuss your return.**
- 3) Enrol online and pay the required fees.**
- 4) Or contact your Key Contact in the Research Student Registry to discuss your circumstances.**

If you do not complete these within 2 weeks we will assume that you do not wish to return to study and will withdraw you from your programme.

Appendix 3: Request to use Video Conferencing at Oral Examination

STUDENT'S NAME:

RESEARCH DEGREE TO BE EXAMINED:

DATE/TIME/VENUE OF ORAL EXAMINATION:

DATE OF PRACTICE EVENT (*when known*)

SCHOOL:

LOCATION OF SECOND VENUE:

LOCATION OF STUDENT:

**INTERNAL EXAMINER:
LOCATION:**

**EXTERNAL EXAMINER (1):
LOCATION:**

**EXTERNAL EXAMINER (2):
LOCATION:**

**INDEPENDENT CHAIR:
LOCATION UCLAN**

**PLEASE PROVIDE REASONS FOR THE USE OF VIDEO
CONFERENCING AT THE ORAL EXAMINATION**

TIME DIFFERENCE:

TYPE OF TECHNICAL FACILITY TO BE USED eg Video Conferencing, Skype, Lync

PROCEDURE IN CASE OF TECHNICAL FAILURE DURING VIDEO CONFERENCING:

DATE/TIME FOR RECONVENING ORAL EXAMINATION BY VIDEO CONFERENCE:

As Director of Studies I support the use of video conferencing and confirm that the student will not be disadvantaged.

Director of Studies:

We confirm we have read and understand the guidelines for video conferencing *(If email confirmation sent, please attach)*

Signatures:

Internal Examiner:	External Examiner 1:	External Examiner 2:
---------------------------	-----------------------------	-----------------------------

I also confirm the School will fund the costs associated with the video conferencing:

Dean/Head of School:

Please return form to Research Student Registry

FOR COMPLETION BY RESEARCH STUDENT REGISTRY ONLY

Approved:
Date:

Chair of Research Degrees Board:

Student informed:

Independent Chair informed:

Date of Practice Session:

Further Information required?

Technician Details:

Other info:

Appendix 4: Student Declaration Form



STUDENT DECLARATION FORM

Type of Award _____

School _____

Sections marked * delete as appropriate

1. Concurrent registration for two or more academic awards

Either *I declare that while registered as a candidate for the research degree, I have not been a registered candidate or enrolled student for another award of the University or other academic or professional institution

or *I declare that while registered for the research degree, I was with the University's specific permission, a *registered candidate/*enrolled student for the following award:

2. Material submitted for another award

Either *I declare that no material contained in the thesis has been used in any other submission for an academic award and is solely my ownwork

or *I declare that the following material contained in the thesis formed part of a submission for the award of:

(state award and awarding body and list the material below):

3. Collaboration

Where a candidate's research programme is part of a collaborative project, the thesis must indicate in addition clearly the candidate's individual contribution and the extent of the collaboration. Please state below:

4. Use of a Proof-reader

Either *The following third party proof-reading service was used for this thesis _____ in accordance with the Policy on Proof-reading for Research Degree Programmes and the Research Element of Professional Doctorate Programmes.
A copy of the confirmatory statement of acceptance from that service has been lodged with the Research Student Registry.

or *No proof-reading service was used in the compilation of this thesis.

Signature of Candidate _____

Print name: _____

Appendix 5: Guidance Notes for Research Students depositing theses (e-thesis) with Central Lancashire Online Knowledge (CLOK), the Institutional Repository for UCLan

On completion of your research degree

Once you have completed your research degree at UCLan you are required to deposit an electronic copy of your thesis with the UCLan Research Repository – CLOK. This is in addition to providing the usual 2 unbound copies (3 if you have a collaborator) for hard-binding. These hardbound copies are given to the student and the Director of Studies.

Please note students cannot deposit their thesis directly onto CLOK, it must be submitted via the Research Student Registry (RSR).

What you must read before submission of the pdf copy and form

Before submission of the form please check that your thesis is not bound by any Intellectual Property Regulations for Students which can be found at: https://www.uclan.ac.uk/students/life/rules_regs.php and ensure you read the Deposit Agreement and the End User Licence Agreement carefully.

What you need to submit for the Repository record

There are two parts to the Repository record for each thesis deposited. You need to submit a completed:

- Thesis Submission Form (see next section)
- a pdf of the thesis – which should include the title page, abstract, bibliography, notes including any supplementary documents ie permission letters (not always required), appendices, uncleared third-party copyrighted material, data, published pieces (any digital file format will do).

How to submit your pdf thesis and thesis submission form

On completion of your research degree you should email the above documents to the GRS (researchexams@uclan.ac.uk)

Thesis submission form

The information from the Thesis Submission Form (as attached and also available at weblink <http://clock.uclan.ac.uk/etheses.html>) will be used to describe the thesis when it is uploaded to the Research Repository. It will not be visible to anyone searching the Repository but the metadata you provide can be accessed by The British Library, Google and other search engines to discover your thesis. Therefore, to ensure your work is correctly cited and referenced as much as possible this information needs to be complete and accurate. The Thesis Submission Form also contains details of the licence under which the University is storing and making available the thesis on the Research Repository.

Important!

It is important that you read and understand this information as submission of the form infers acceptance and it is your responsibility as a student to ensure that any statement or claim made is accurate and truthful.

The e-thesis

The pdf file of your thesis should be an exact representation of the final approved copy. The easiest way to create the pdf file is to use the 'Save As PDF' function in Microsoft Office Applications. If you have any problems please call the LIS Customer Support team on 01772 895355 or see www.uclan.ac.uk/lis/ and click 'Help' at the bottom of the screen.

Receipt of e-thesis by the RSR

Upon receipt of the above, the RSR will:

- check that the work is eligible to be added to the Institutional Repository
- check if the thesis has a requirement to be held in confidence and the duration (established at the time of examination arrangements approval)
- deposit the thesis on the Research Repository using the information on the Thesis Submission form

Deposit of thesis with the Repository

After deposit the Research Repository Staff will check:

- the pdf files and other material match the bibliographic information,
- any notes or queries regarding copyright or other issues, including any embargoes
- briefly, that the thesis does not include obvious infringements.

Access to your thesis

Your thesis will be made available by the Research Repository on an Open Access Archive basis within 3 months of being uploaded. After which time it will be visible for other scholars to read freely over the web unless there is a reason that it should be hidden either permanently or for a specific length of time. Reasons for embargoes or moratoria are:

- Large quotes or sections of third party Copyright material. Exposure on the Research Repository is not covered by the Examination exception for Fair Use (CDPA1988 s.32).
- Impending or outstanding patent applications
- Data protection or promises of confidentiality
- Publication or commercial contracts, Copyright Transfer Agreements or other legal restrictions

It is your responsibility to notify us on the thesis submission form if you are aware if any of these reasons relate to your thesis. Please ensure you include as much information and detail as possible.

Theses held in confidence or under restricted access

There is a field on the form where you can communicate any embargo requirements to the Research Student Registry. It may be that an embargo is not necessary and less extreme solutions are available. For instance if large pieces of cleared text, data, images or musical notation are included in the body of the thesis, the Research Repository staff can help you apply for permissions or help you remove the infringing material to an embargoed appendix and/or insert hyperlinks to published versions elsewhere on the internet.

The University may wish to restrict access to your Thesis in order to satisfy the University's Intellectual Property Regulations for Students; please ensure that you have read and understood the policy which can be found here: https://www.uclan.ac.uk/students/life/rules_regs.php

UNIVERSITY OF CENTRAL LANCASHIRE - Theses Submission Form

Please fully complete every field unless indicated – (the boxes will expand as you type).

Please ensure you put as much detail as possible, this will enable us to upload your thesis correctly

Your Name (as you are registered with the University)	
Your Permanent Address	
Contact email (personal preferred)	
Contact telephone	

Files	List the file names and suffixes to be uploaded (Ensure they are emailed with this form)	
Title	The title of your thesis as displayed on the title page	
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