UNIVERSITY OF CENTRAL LANCASHIRE

Research Student Assessment Policies and Procedures Handbook

Effective September 2018 to August 2019

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.

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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 for the transfer viva or oral examination. In the case of Professional Doctorates studying the research element this applies to the oral examination The onus for reporting and corroborating extenuating circumstances lies with the student whilst the examiners or assessors must properly consider all valid submissions. The scheme is not intended to supersede normal requests for Authorised Interruptions to Study during the programme. (Research Degree students see Section 6 of this Handbook; Professional Doctorate students see you Student Handbook).

1.1.1 Initial Notification (prior to or at the time of transfer viva or 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 transfer viva or 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' or assessors' 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 and assessors 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 or transfer viva and the outcome. Where notification is submitted after an oral examination r transfer viva, examiners/ assessors may be asked to reconsider their recommendation if the Chair of the Research Degrees Board feels it necessary. Examiners/ assessors have the power to suspend an oral examination/ transfer viva on notification of extenuating circumstances on the day of the examination/ transfer viva 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 Students

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/ transfer viva. 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/ assessors aware of you must report this to the Research Student Registry at the earliest possible opportunity. Where justified, examiners/ assessors 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 you 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/assessors 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/ transfer viva and reschedule it for a later date.
- To allow a further oral examination/ transfer viva.
- To provide an alternative form of examination from the original where this is felt appropriate to individual circumstances.

Examiners/assessors 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 either on the thesis and the oral examination or on the transfer report and the transfer viva. 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 proceedings of the transfer viva and discussion of individual students are confidential to the Research Student Registry the assessors and the Research Degrees Board. . Information disclosed during Board meetings may not be discussed outside the meeting or with third parties.

The role of examiners/assessors 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/assessors 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. 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 of this Handbook.

2 Assessments

2.1 Research Programme Approval

Research Programme Approval (RPA) is an assessment of progress and successful completion of the Research Programme Approval process constitutes the first progression criterion for all research degree students.

The application form and guidance notes are available in the Research Document Library on the Student Portal.

The aim of this process is to approve the title of the research project and to ensure that:

a) the candidate is demonstrating the appropriate research skills to undertake the research programme;

b) the candidate is embarking on a viable research programme for the target award to a timescale that acknowledges the agreed standard completion time;

c) the supervision is adequate and likely to be sustained;

d) the research environment is suitable; and

e) the ethical and governance issues have been addressed.

2.1.1 Timescales

The completed documentation must be submitted to the referee by the deadline see Appendix 1. The Exclusion process will be implemented for students whose RPA is not submitted or where revisions are not completed (see section 8).

2.1.2 Approval

Two attempts at Research Programme Approval will be allowed. Once the referee has approved the RPA final approval by the allocated Research Degrees Tutor is required. Approval must be obtained

2.2 Transferring from MPhil to PhD

2.2.1 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: <u>Written Transfer Report from student</u> *(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: <u>Written report from supervisors on progress made</u> (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: <u>Transfer Viva by a Panel</u>

2.2.2 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.

The 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?)*

The 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.

2.2.3 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.

2.2.4 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.

If the student is not successful then they will required to write up for a Master of Philosophy award. Where the revisions are not completed then the Exclusion process may be implemented. (See Section 8).

Students are entitled to appeal against the decision of the Research Degrees Board and are encouraged to consult the Appeals Procedure in Section 9 of this 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.

2.2.5 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

Introduction

Submission of a thesis for examination is at the sole discretion of a student. However, candidates should ensure that they follow the advice of supervisors when deciding whether or not to submit. The thesis must be submitted no later than the candidate's lapse date (last day of registration).

Submission for examination must be to the Research Student Registry. Usually the candidate will do this in person but the thesis copies may be sent by post (recorded delivery is recommended). If the thesis is submitted by post the candidate must advise the Research Student Registry in advance and scan a copy of proof of postage via email to researchexams@uclan.ac.uk.

If a candidate wishes another party to submit their thesis on their behalf they must confirm the name of the individual in writing to the Research Student Registry and the person submitting the thesis must bring photographic identification when they submit the thesis.

For information regarding anonymisation, copyright, confidentiality, embargoes and intellectual property rights see Section 4.

3.1 Stages of the Examination Process

Examinations of research degrees normally consist of two parts:

- Submission and a preliminary assessment of the thesis and, where applicable, any practice-based materials submitted;
- An oral examination: this includes a defence of the thesis, the programme of work and the field of study in which the programme lies.

3.1.1 Examination Arrangements

- Examination arrangements should be in place at least 4 months before the candidate's intended submission date.
- It is the responsibility of the Dean/Head of School to propose the examiners. 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.
- Candidates should take no part in the examination arrangements or have any influence in the appointment of examiners.
- Members of staff at the University, or a partner college, must have two 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 a candidate submits the thesis the oral examination date will be confirmed formally.
- Candidates should make a note of dates they are unavailable for an oral examination and inform the Research Student Registry accordingly. If candidates later become aware of any dates they may not be available, the Research Student Registry should be notified without delay.

3.1.2 Submission

Upon approval of examination arrangements, candidates must submit the thesis to the Research Student Registry. Each examiner will require a copy and it is recommended that a copy is produced for the candidate and the Director of Studies. The thesis should be formatted and bound within the guidelines in this Handbook.

Checklist:

- The title on the thesis is the same as the one approved by the Research Degrees Board.
- Title page is in the approved format
- Student declaration is included and signed
- Statement regarding proof reader is included (if applicable)
- Binding of thesis is tape or velo
- A pdf version of the thesis must also be submitted simultaneously

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 is normally expected to take place within approximately two months of submission. The Research Student Registry will formally notify candidates at least two to three weeks in advance of the oral examination date.
- Please note: t is expected that candidates will make themselves available on any day in the working week Any commitments which cannot be cancelled e.g. job interview, hospital appointment must be notified to the Research Student Registry at the time of submission or as soon as known.

3.1.4 Pre-Exam Briefing

- It is strongly recommended that all candidates attend the pre-exam briefing offered by the Research Student Registry prior to the oral examination. A place can be booked by emailing researchexams@uclan.ac.uk.

3.1.5 Prior to the Oral Examination

- Prior to examination, candidates should ensure that they have had at least one practice (mock) oral examination. Candidates should discuss the arrangements with their supervisory team.

- Candidates should also decide if they wish to have one of their supervisors present at the oral examination and invite them in good time.

3.1.6 The Oral Examination

Candidates may invite a supervisor to accompany them. The supervisor cannot participate in the defence and supervisor must withdraw prior to the examiners' deliberations on the outcome.

The University does not allow recording of any oral examinations by any party.

At the beginning of the oral examination the internal examiner or the independent Chair, where applicable, will:

- verify the candidate's identification;
- introduce the examiners and any other persons in the room;
- remind any technician or British Sign Language Interpreter present that the examination proceedings are confidential;
- check if the candidate wishes to have one supervisor attend the oral examination.
- possibly give the candidate an estimate of the expected length and format of the examination;
- check whether there are any extenuating circumstances (not previously notified to the Research Student Registry) which may affect the candidate's performance and which the candidate wishes to be taken into account.

If a candidate was to present the examiners with a previously undisclosed disability or extenuating circumstances the examiners may wish to seek advice from the Research Student Registry in the first instance before proceeding with the oral examination.

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

3.1.7 After the Oral Examination

Prior to the examiners reaching a decision regarding the outcome of the oral examination, the candidate and supervisor (if present) or any other person such as technicians or British Sign Language Interpreter, will be directed to withdraw. Upon reaching a recommendation, the candidate (and supervisor) will be informed provisionally. The official recommendation (and list of corrections/guidance notes if applicable) will be sent to the candidate by the Research Student Registry, usually within two weeks.

3.1.8 Submission of revised theses

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

Checklist for submitting a revised thesis:

- Following the oral examination, if corrections are required, candidates should ensure they complete all the required amendments to the thesis as specified in the letter and any accompanying documentation sent by the Research Student Registry
- The candidate should provide the required number of copies as specified in the letter from the Research Student Registry
- Revised theses should be submitted in soft bound form, using tape or velo binding only, together with a pdf version.
- Submit any amendments/revisions as instructed no later than the due date as detailed in the letter from the Research Student Registry.
- It is recommended that candidates provide a list of amendments/revisions made to the thesis in order to assist the examiner(s) when reviewing the revised thesis.

3.2 Candidates with Disabilities

Notification of special requirements should have been given at the time examination arrangements were approved. The Inclusivity Advisors have procedures and candidates must ensure that they have contacted the service if they have a disability. Candidates should discuss any potential requirement for reasonable adjustments during the oral examination with their Inclusivity Advisor and the Research Student Registry at their earliest possible convenience.

3.3 Reporting Extenuating Circumstances

If a candidate feels that they have extenuating circumstances, which the examiners should be made aware of, this must be reported to the Research Student Registry at the earliest possible opportunity. Where justified, examiners will make every effort to make adjustments so that candidates are not disadvantaged during their oral examination. (See Section 1 of this Handbook)

3.4 Cancellation and failure to attend the Oral Examination

Cancellation of an oral examination
Occasionally, due to circumstances beyond the University's control, the oral examination will have to be cancelled. This may due to illness of the student or examiners. Where the candidate is requesting the cancellation then evidence of extenuating circumstances must be provided to the Research Student Registry.

Failure to attend an oral examination

In the event a candidate fails to attend an oral examination, they will automatically be referred for second examination. Where there are unforeseeable or unpreventable extenuating circumstances to be considered the candidate must provide evidence of these extenuating circumstances to the Research Student Registry at the earliest possible opportunity.

3.5 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 Section 5 of this Handbook).

3.6 Outcomes of Oral Examinations

Candidates should familiarise themselves with the Academic Regulations for Research Degrees on the outcomes of first examination and re-examination. Candidates may be recommended for an award 'outright', i.e. with no amendments to be made to the thesis. If there are corrections/revisions to complete, candidates will be given timescales for completion of these in the letter confirming the outcome of their 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 MPhil, PhD and MD and MCh 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 two 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 four 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 he or she has 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.

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

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

3.7 Appeals against Examination Decisions

If a candidate wishes to appeal against the examiners' decision they should refer to the Appeals Process.

3.8 Completing the Degree

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

3.8.1 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 candidate 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 the copies for binding in red buckram.

3.8.2 Candidates are also required to deposit an electronic copy of their thesis with the UCLan Research Repository – Central Lancashire Online Knowledge repository (CLoK). This should be submitted in the first instance to the Research Student Registry with a Thesis Submission form and the proof-reading statement where applicable. 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://clok.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.

3.9 Checklist following recommendation for award

Upon approval of amendments/revisions by the examiner(s) provide the Research Student Registry with:

- requisite unbound copies of thesis for final hard-binding
- electronic copy of your thesis (pdf format)
- Thesis Submission form
- A copy of the proof-reading statement
- Collect bound copy of thesis from the Research Student Registry
- Notify the Research Student Registry of any change of address

3.10 Award

The recommendation for award will then be submitted to the Research Degrees Board then reported to the Research and Innovation Committee who will confer the award on behalf of the Academic Board, after which the candidate will receive a formal letter of conferment.

4 Presentation and Preparation of Research Theses

4.1 Introduction and Summary

This is a guide to the preparation and presentation of a thesis required for the award of a research degree. The guide is intended to outline the standard for all theses submitted for research degrees at UCLan. This guide outlines the practicalities of producing a research degree thesis in a format that is acceptable for examination and for deposit in the University's online institutional repository (CLoK). However, this guide does not deal with the academic standard required of a thesis. On these matters, research degree candidates must always consult with their supervisory team and refer to discipline-specific guidance.

This guide should be read in conjunction with the following documents:

1) Proofreading Policy.
2) Code of Practice for Research Students:

http://www.uclan.ac.uk/study_here/assets/Code_of_Practice_for_research_students_OCT_16.pdf

4.1.1 Writing Skills

The primary source of guidance should be taken from the candidate's supervisors. However, additional support can be accessed via:

The School of Graduate Research and Education
This school is responsible for research student training. There are a number of writing skills and compilation of thesis courses available. These can be viewed on the web site.

The Skills Training information and schedule can be found here:
https://www.uclan.ac.uk/research/study/student_training.php

WISER
WISER can provide academic writing advice for research students and give independent feedback. WISER 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 wiseraccess@uclan.ac.uk. Additional training can be accessed via the UCLan Research Student Training Programme, accessible on the UCLan website.

4.1.2 Anonymisation of material

Where research includes information pertaining to individuals or organisations, which must remain confidential, or it has been agreed with those parties that it will remain confidential, care should be taken to anonymise the information so they cannot be identified.

4.1.3 Confidentiality and embargoes

Candidates may be bound by a confidentiality agreement which means the research cannot be discussed or published. Once the examination process has been completed successfully, the final thesis will be held in confidence for a designated period (embargo). The embargo period must to be agreed by the Research Degrees Board at the time examination arrangements are approved. The thesis will be held under an embargo on CLoK.

If the thesis contains confidential material, is bound by a non-disclosure or other confidentiality agreement, or an embargo preventing access to any version of the thesis is required, then a formal request for restricted access will be required at the point when the Application for Examination Arrangements is being submitted for approval by the Research Degrees Board. However, requests may be submitted later but must be prior to examination.

4.1.4 Templates

Candidates should use the templates provided on the UCLan website for:

- The title page
- The student declaration and proof-reading page

4.1.5 Intellectual Property

Advice should be sought from the Intellectual Property and Commercialisation Office. This should be done prior to

submission of examination arrangements.

4.2 Paper Quality and Typographical Detail

4.2.1 Methods of Production

Theses shall be presented in a permanent and legible printed form. Characters shall be not less than 10 pt. The university recommends either Calibri or Arial font but script should be of even quality, with clear black characters. Where copies are produced by any photocopying processes, these must be clear and of a permanent nature.

4.2.2 Paper

Theses are required to be presented in A4 format and 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. If the Research Degrees Board gives permission for another format, the thesis must adhere to that approved by the Board. The thesis should normally be printed on one side of the paper for the examiners. However, post examination, for final hard binding the thesis may be printed double-sided on good quality paper.

4.2.3 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.

4.3 Pagination

4.3.1 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.

4.2.2 Position of page numbers

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

4.3.3 Multi-volume theses

If there is more than one volume, each volume shall carry its own pagination. Each volume must be numbered eg: Vol. 1 of 2; Vol. 2 of 2.

4.4 Preliminaries

4.4.1 Published material

Where there are no contractual agreements preventing publication, the student is free to publish material in advance of the thesis. Where referenced in the thesis, copies of published material may be either bound in the thesis as an appendix or placed in an adequately secured pocket at the end of the thesis.

4.4.3 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.

4.5 Structure of the Thesis

The guidance provided here applies to the majority of discipline areas. However students should be guided by their supervisors regarding discipline specific practices.

The thesis should start with the items below 4.5.1 - 4..5.8 and be in the following order. The title page should

be the first page of the thesis. If there is more than one volume, each volume must have a title page.

4.5.1 Title Page

The template title page is available from the Research Student Registry or can be found on the Research Student Registry's webpages on the Student Portal, in the document library under T for Thesis title page.

4.5.2 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. However, it should be noted 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.

4.5.3 Student Declaration

A student declaration must be included in the thesis stating that the work is solely that of the candidate, 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 template 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 UCLan website in the document library.

Any proof-readers used must also be named on this declaration form and a copy of the declaration of proofreading services must be submitted with the thesis copies.

4.5.4 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.

4.5.5 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 chapters, 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.

4.5.6 Acknowledgements

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

4.5.7 List of tables and figures

The lists of tables and figures shall follow the table of contents and shall list all illustrative material including: tables, photographs, diagrams, etc, in the order in which they occur in the text. All illustrative material other than tables should be numbered as figures. Tables and figures should be numbered consecutively and must correspond to the chapter within which they are embedded and the List of tables and figures (e.g., Table 2.3, Figure 3.1 or Fig. 3.1). All illustrative material must be fully referenced in a consistent manner, and appear directly after the numbering [e.g., Fig. 3.1: 63: *Soft Babylon,* Marcos Novak, Cyberspace 1998 (Novak, 1998b, p20).]

4.5.8 Glossary of Terms, Abbreviations, List of Symbols

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.

4.5.9 Introduction

The opening chapter of the thesis should comprise 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.

4.5.10 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.

4.5.11 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.

4.5.12 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.

4.5.13 References

All research students are expected to be aware of the need for appropriate referencing and familiar with the system used in their own discipline. 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 but the candidate should be consistent once they have decided on the method. WISER supplies a number of helpful guides and resources online: www.uclan.ac.uk/wiser

4.5.14 Footnotes and Endnotes

References cited in the text should be identified by footnotes or endnotes. 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.

References in-line within the main body of the thesis must be provided in round brackets, immediately following the relevant work or phrase. If footnotes or endnotes are used, these are required to be identified numerically in order throughout the thesis. If footnotes and endnotes are both used, a different notation is required for each, such as numbers for footnotes and letters for endnotes to retain clarity and avoid confusion. Care should be taken to avoid overuse of footnotes or endnotes, and should be limited to:

i. making reference to another part of the thesis,
ii. stating a source that may be inappropriate for in-line referencing (due to length or complexity of source),
iii. expanding on a part of the main text without diverting from the context.

4.5.15 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.

4.5.16 Index

An index is optional and should not be required if the table of contents is sufficiently detailed.

4.6 Presentation of 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 Images

Black and white (greyscale) or colour images may be submitted as part of the thesis. Images should be scanned or printed into the text. Permission should be sought for reproduction of any images that have been published. A licence may be required for images taken from the internet. Images should be scanned with a minimum resolution of 300 dpi. Images should be cropped to maximise size and reduce the amount of blank space. Landscape images on an A4 portrait page should be rotated anti-clockwise with the top of the image to the left. Images should be placed as close as possible to their text reference in the main thesis, unless the text reference is to an appendix.

4.6.3 Other illustrative material

Other material which cannot conveniently be bound in the text, such as maps, slides, audio or video tape, DVD 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.

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.

All data should be presented in a format which is easily accessible.

4.6.5 Numbering and captions for illustrations and tables

A systematic numbering system must be used for all illustrations and tables. The numbers and captions shall be at the bottom of the illustrations.

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

4.7 Practice-based Theses

4.7.1 Practice-based material

Students whose submissions include work of a practice-based nature must provide an accessible and permanent record of the practice-based work. This must be stored in a way that is manageable, accessible and retrievable. If for example the practice-based work takes the form of exhibition, performance, broadcast or other temporal event, the work is required to be recorded and documented in the form of photographs, digital recordings, scores, drawings, digital recordings using appropriate media.

The written documentation and the practical components for the research degree combined will make up 100% of the submission for examination. Individual supervision teams may agree certain parameters for the ratio of practice to written work according to the nature of the field, discipline and/or research degree investigation.

4.7.2 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 of 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.

4.7.3 Published Works

Wherever possible the published works should be included as published and bound behind the synoptic commentary. Where this is not possible then each item must be clearly labelled with a numbering system as detailed in the Table of Contents.

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 (soft bound) 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.

Only tape or velo binding will be accepted for submission of the thesis at any stage.

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 may apply.

4.8.3 Final Requirements

Following final recommendation from the examiners that the award can go forward for conferment, the student is responsible for, and is required to provide;

1. Two loose printed copies of the thesis (one for the student and one for the Director of Studies).
2. If the project has a collaborator, an additional loose copy of the thesis will be required for each collaborator.
3. PDF copy of the full thesis.

The University will pay for the cost of hard binding of two copies of the thesis plus copies for any collaborators as appropriate.

Students may pay for additional copies of the thesis for which they must provide the loose printed copies. Current prices are available on request from the Research Student Registry.

4.9 Length of Thesis

The text of the thesis should not normally exceed the following length (excluding ancillary data). These word counts are intended as a guide only. Students should seek further advice from their supervisory team.

Medicine, Science and Engineering

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

Art and Design, Humanities, Health, Social Sciences and Education

PhD	80,000 words
MPhil	40,000 words
MA\MSc (by Research)	25,000 words
LLM (by Research)	25,000 words

Where the thesis is accompanied by substantive material in other than written form, is practice-based, or the research involves creative writing or the preparation of a scholarly edition, it is recommended that the written thesis should not

normally exceed the following word counts:

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

PhD (by Published Work) - The text of the Synoptic Commentary should not normally exceed 10,000 words (excluding ancillary data).

4.10 Professional Doctorates

Professional Doctorate Students undertaking the thesis module should refer to their module specification and their Module or Course Leader for guidance on specific requirements related to their programme.

4.11 Further Reading

Candidates should discuss discipline specific requirements for presentation of research degree theses with their supervisors at the earliest possible opportunity.

In addition, some general recommended reading is suggested below but candidates should always check the suitability of any texts with their supervisors:

Becker HS (2008). Writing for Social Scientists: how to start and finish your thesis, book or article. 2nd revised edition. Chicago Guides to Writing Editing & Publishing, University of Chicago Press.

Dunleavy P (2003). Authoring a PhD: How to Plan, Draft, Write and Finish a Doctoral Thesis or Dissertation. Palgrave MacMillan: Basingstoke.

Hart C (2005). Doing Your Masters Dissertation. Sage: London.

James E, Slater T (2013, Writing Your Doctoral Dissertation or Thesis Faster: A Proven Map to Success, Sage.

Jesson J, Matheson L, Lacey F (2011). Doing Your Literature Review: Traditional and Systematic Techniques. Sage.

Mewburn I (2013). How to Tame Your PhD 122 pages, Lulu.com.

Murray R (2011). How to Write a Thesis. Open University Press: Berkshire.

O'Gorman K, MacIntosh R (2015), 2nd Ed. Research Methods for Business and Management: A Guide to Writing Your Dissertation (Global Management Series), Goodfellow Publishers.(ISBN-13: 978-1910158517)

Phillips EM, Pugh DS (2015). How to get a PhD: A Handbook for Students and their Supervisors. Open UP Study Skills.

Roberts CM (2010). The Dissertation Journey (2nd Edition). Sage: London

Web resources:

The Thesis Whisperer blog: https://thesiswhisperer.com/

Vitae: https://www.vitae.ac.uk/doing-research/doing-a-doctorate

Econ and Soc Research Council advice and resources for PhD students: http://www.esrc.ac.uk/skills-and-careers/studentships/resources-for-phd-students/

PhDs.Org: a website to help those seeking (and trying to survive) post-graduate research study: http://www.phds.org/career-resources

5 Video Conferencing Procedures for Research Degree Examinations

Introduction

The University considers that the best oral examination experience for research degree candidates is at the University, face to face with all members of the examination panel present in the room with the candidate.

Video conferencing will only be permitted for research degree oral examinations under certain exceptional circumstances and should not be viewed as a routine alternative to a face to face oral examination. Use of video conferencing must be authorised by the Research Degrees Board and must comply with these procedures.

This guidance should be read in conjunction with the following documents:
Research Student Assessment Policies and Procedures Handbook
Academic Regulations for Postgraduate Research Degrees
Code of Practice for Research Students

5.1 Basis for requests

An oral examination conducted using video conferencing should otherwise be comparable to those used for face-to-face examination. Due consideration should be given to the environment in which the parties are located, that this is fit for the purposes of an oral examination, and that it is in all other ways comparable to those used for face-to-face examination.

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

All requests for an oral examination to be conducted by video conferencing rests with the Chair of the Research Degrees Board. The Chair may take action on behalf of the Board when considered necessary.

All requests must adhere to the following guidelines:

1. Permission for oral examination via videoconference should be requested at the time of examination arrangements using the appropriate form, available on request from the Research Student Registry. Where necessary the Research Degrees Board may refer to technical services for advice regarding logistics.
2. Requests should not be made at short notice due to the technical, logistical and authorisation requirements for this mode of examination.

3. University regulations state that research degree candidates are required to attend an oral examination. An oral examination by video link cannot be used to avoid the need for a student to travel to the University for their face-to-face oral examination.

4. The University does not permit the oral examination to be conducted by telephone conference.

5. The Internal Examiner is responsible for liaising with the technical staff to arrange the video conferencing arrangements. The Research Student Registry will assist where possible and 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.

6. The technician should be given sufficient notice as determined by the School to set up video conference facilities

7. An Independent Chair will be appointed by the Research Student Registry in any case where video conferencing is to be used, regardless of the experience of the examiners, to ensure the examination if conducted fairly and in accordance with University Regulations.

8. At least one of the Examiners must be present in the same room as the candidate.

If confidentiality agreements are in place then video conferencing will only be permitted where confirmation is received from Learning and Information Services (LIS) that the system to be used is sufficiently secure.

5.1.1 Acceptable and non-acceptable circumstances for Oral Examinations via video conferencing.

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." (Academic regulations K1.2)

1. **Circumstances considered acceptable reasons for oral examinations via video link:**

    - where incapacitating mobility issues arise with the candidate;
    - disruption caused by accident, flood, fire or other natural catastrophe which directly impacts on the examination;
    - disability, ill-health or serious injury of the candidate or examiner resulting in difficulties travelling to the examination

2. **Applications for oral examinations via video link will <u>not</u> be considered solely on the following grounds:**

    - High cost for the external examiner to travel to the UK
    - The candidate has left the area or moved overseas
    - The proposed external examiner does not have the right to work in the UK

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

Requests for an oral examination by video conferencing should be sought from the Research Degrees Board, at the same time as the Application for Examination Arrangements using the form at Appendix 1 of this Handbook. The request should be submitted by the School, in the first instance, to the Research Student Registry. Before submitting such a request it is recommended advice should be sought from the Research Student Registry.

Requests must:

1) Include the written consent of all parties to the arrangements (examiners, candidate and Director of Studies) confirming that they agree to the oral examination being held by video conference. This consent must be obtained prior to the approval for video conferencing being sought.
2) Include confirmation from the Director of Studies 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.
3) 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.
4) 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. (Refer to Procedures for Technical Failure below)
5) Identify which examiner will be in the room with the student.
6) Identify the remote venue.
7) Take into account any confidentiality issues. Video conferencing is not considered a secure method of communication. Therefore, if there are any IPR or contractual arrangements or non-disclosure agreements in place this will prevent the examination being held by video conference

Requests to use video conferencing will be dealt with on a case by case basis. Requests will be considered and approved by the Research Degrees Board or the Chair when necessary. 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.

5.2 Procedures and Responsibilities Prior to the Oral examination

The candidate's sponsoring 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 UCLan Technicians and they should liaise with technical staff at the other institution involved to ensure that they can offer satisfactory video conferencing services.

The Internal Examiner must ensure that the student has undertaken a trial run to practice speaking to another party using the video conferencing facilities in advance of the oral examination. Similarly, the examiners should practice using the facilities prior to the oral examination commencing.

The following parties must be present at the trial run:

Candidate
Internal Examiner
External Examiners(s)
Independent Chair
UCLan Technician

The following parties *may* also be present at the trial run:

Supervisor
British Sign Language Interpreters (if applicable)

The Independent Chair will be required to confirm that:

- all examiners and the student have practiced using the video conferencing facilities;
- all participants in both venues are clearly visible to each other
- the video conferencing technology (notably the connection) works appropriately
- at least one of the examiners is present in the same room as the student;
- apart from technical staff, the only other persons present at the oral examination are those permitted to be there: the candidate, 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.
- a back-up plan must be confirmed during the trial run, should technical arrangements fail at the oral examination

5.3 Procedures for the Oral Examination

The following parties *must* be present at the oral examination:

- Candidate
- External Examiners(s)
- Internal Examiner
- Independent Chair
- UCLan Technician (at the start of the viva)

The student's supervisor may be present, if invited by the student.

The following may be present where applicable:
British Sign Language Interpreters or other disability support workers (if applicable)

The Independent Chair will supervise the conduct of the oral examination and should have attended training and/or be experienced in conducting an oral examination by video link. The Independent Chair is responsible for taking all reasonable steps to ensure that the student is not disadvantaged in any way compared to the normal situation of a face-to-face 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 candidate, the examiners, independent chair, a supervisor and British Sign Language Interpreters (if applicable);
- 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.

In the exceptional circumstances where the student will be the remote party, the student's Director of Studies will observe the oral examination or at least be present at the start of the examination to verify the student's identity.

At the start of the oral examination by video conference, the candidate should be asked to show a UCLan ID card as verification and identify themselves to all parties using their full name.

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

The usual examination protocols apply, including escorting the student during any absence 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. The Examiners and the Independent Chair are expected to note this in their final reports and also make any relevant comments on the conduct of the oral examination by video conference.

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.

5.4 Video Conferencing Technology and Failure

Where the oral examination is to be conducted by a remote video link, the technology used should be a video conferencing system that is operated by the University's Technicians. The University will not permit the oral examination to be conducted by telephone conference.

Skype (or an equivalent and appropriate technology) should only be used as a back-up if the preferred video conferencing system experiences a failure. All parties should test their video link connection at the time when the video conferencing system is being tested, as a contingency plan.

There should always be a UCLan Technician available and accessible at the University location when conducting an oral examination by video conferencing.

The remote party in the oral examination must have access to appropriate technology and a technician to respond to technical difficulties at the remote site.

Thorough testing of the video link connection should be undertaken before the time of the oral examination and if there are any doubts about the quality or sustainability of the connection, the examination should not be allowed to proceed.

If it becomes necessary to interrupt the oral examination or to continually refresh the connection this can disrupt the flow of the oral examination and disadvantage the candidate.

All parties must accept that in the event of repeated technology failures that prevent completion of the oral examination, the examination must be halted and rescheduled for a standard face-to-face oral examination.

5.5 Security

Where any confidentiality agreements are in force for the research project then careful consideration must be given as to the video conferencing system to be used. Advice should be sought from technicians in LIS before submission of the request and assurance provided to the Research Degrees Board as to the appropriateness of the system.

5.6 Appeals

A request for an academic review of a research degree examination by a student will be considered, and where appropriate condu****cted, 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

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

6.1 Principles Governing Interruptions to Study

6.1.1 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 end date of the programme equivalent to the period of time of interruption.

6.1.2 Timescales

All study for the research degree must have ceased or be expected to cease for a period which must normally exceed one month[1]. 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.

6.1.3 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.

6.1.4 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.

6.1.5 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.

6.1.6 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.

6.2 Policy for Submitting Applications for Interruptions to Study

6.2.1 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.

6.2.2 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).

6.2.3 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 6.5).

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 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 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 maylead 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.

6.2.4 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 generallyacceptable.

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.

6.2.5 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.

6.2.6 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.

6.2.7 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.

6.2.8 Submission of thesis

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

6.3 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

6.3.1 Timescales

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

6.3.1.1 maternity leave *

6.3.1.2 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.

6.3.2 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.

6.3.3 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.

6.3.4 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.

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

6.4.1 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:

6.4.2 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.

6.5 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

7.1 Policy Statement on Unfair Means: Promoting a Culture of Academic Integrity in Staff and Students

7.1.1 The University adopts a strategic approach to the prevention and management of unfair means to enhance performance. This is cognisant of the University strategies for Learning and Teaching and Research. The University advocates a holistic approach and fosters a culture of academic and research integrity amongst staff and students, by providing a coherent set of Academic and Research Degree Regulations and guidelines for implementation by Schools and Services.

7.1.2 The University recognises that all academic, administrative and support staff, holding a variety of roles, have the responsibility to promote a culture of academic and research integrity, acting as role models for students and their peers.

7.1.3 Student support, advice and guidance will be provided within Schools and by central University services to facilitate student personal and professional development, with an emphasis on information literacy, study skills and problem solving.

7.1.4 Importance is placed on providing education for staff and students and raising awareness on unfair means to enhance performance. The use of Turnitin is promoted as both an education and detection tool, together with a range of deterrents.

7.1.5 Course teams are responsible for 'designing out' unfair means to enhance performance by implementing robust procedures for curriculum design, student recruitment, course delivery, assessment and evaluation and through continuous enhancement.

7.1.6 Standards and behaviour expected of students will be made explicit to students, including standards of proficiency and competencies required by Professional Statutory Regulatory Bodies and Research Council Codes of Practice, in a range of verbal communication, written and electronic resources.

7.1.7 Schools are responsible for investigating suspected cases of unfair means to enhance performance and imposing penalties determined by circumstances and evidence presented in accordance with the Academic and Research Degree Regulations. Schools will monitor occurrence of unfair means to enhance performance utilising standardised templates, which will be reported centrally. Incidence will be systematically collated and School action plans focusing on improvements will be monitored.

7.2 Scope

7.2.1 This Procedure applies to all students registered for a University award including those studying at a partner institution in the UK or overseas. It applies to all taught programmes and postgraduate research degrees, professional doctorates and professional awards.

7.2.2 This Procedure is designed to deal with allegations of unfair means, defined as cheating, plagiarism, re-presentation of work and collusion. If the 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) the matter will be referred for action under the Student Disciplinary Procedure or the Fitness to Practise Procedure, where this corresponds with professional body guidance.

7.2.3 Allegations of research misconduct (e.g. fabrication, falsification or misrepresentation of data or contravention of ethical principles) will be considered in the first instance in line with the Code of Practice operated by the Ethics and Integrity Team in Research Services.

7.3 Principles

7.3.1 At all stages of this Procedure, a student is entitled to be accompanied and/or represented by a person of their choosing, who may be from the Students' Union Advice and Representation Centre. This Procedure is intended to be fair and to comply with the rules of natural justice. The Procedure is not a formal court process and, therefore, should not be adversarial or overly legalistic, and there is no need for anyone to have formal legal representation. Notwithstanding this provision, a student may be accompanied by a person who is legally qualified, providing that person understands and respects the nature of the hearing, and does not adopt an overly adversarial or legalistic stance.

7.3.2 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 and mitigation.

7.3.3 At any point following receipt of an allegation of unfair means, the assessment and/or research in question may be suspended pending the outcome of this Procedure.

7.3.4 If, in the case of a postgraduate research degree, unfair means is identified by the examiner(s) at any stage during the examination process, the examiner(s) should report the matter immediately to the Research Student Registry. The examiners may be requested to complete their preliminary reports before this Procedure is invoked.

7.3.5 If unfair mean is identified during an oral examination for a postgraduate research degree, the examiners should suspend the examination and report the matter immediately to the Research Student Registry.

7.3.6 Where evidence of unfair means 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.

7.3.7 Confidentiality will be preserved during the investigation of an allegation of unfair means to protect the interests of everyone concerned, unless disclosure is necessary to progress the investigation in line with the rules of natural justice. The University expects that all parties will respect the confidentiality of the process.

7.3.8 All references in this Procedure to the Head of School will include his/her appointed nominee who will be a senior member of academic staff.

7.4 Regulations

7.4.1 The Regulations governing the use of unfair means to enhance performance are set out in the Academic Regulations for Research Degrees (section A8).

7.5 Definition of Unfair Means

7.5.1 The University regards any use of unfair means in an attempt to enhance performance or to influence the standard of award obtained as a serious offence. Such offences can include, without limitation:

Cheating

7.5.2 The term cheating includes, without limitation:

- Being in possession of notes, 'crib notes', or text books during an examination other than an examination where the rubric permits such usage;
- Copying from another candidate's script or work;
- Communicating during the examination with another candidate;
- Having prior access to the examination questions unless permitted to do so by the rubric of the examination;
- Substitution of examination materials;
- Unfair or unauthorised use of an electronic calculator/device;
- Impersonation;
- Use of a communication device during the examination;
- Any deliberate attempt to deceive.

Plagiarism

7.5.3 Material submitted for assessment through open book examination, coursework, project, dissertation or thesis must be the student's own efforts and must be his/her own work. Students are bound by the Academic Regulations and the Regulations for the Conduct of Students and any individual work submitted for assessment must be their own.

7.5.4 Copying from the works of another person constitutes plagiarism, which is an offence. 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. Every School issues guidelines on the use and referencing of quotations which students are required to follow.

Detection

7.5.5 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 to support the related decision making process.

Re-presentation of work

7.5.6 The same work cannot be recognised twice for academic credit. A student who attempts to submit the same work for academic credit, except where the rubric of assessment permits, shall be deemed to have used unfair means.

Collusion

7.5.7 Collusion is an example of unfair means because, like plagiarism, it is an attempt to deceive the examiners by disguising the true authorship of an assessed piece of work e.g. an assignment or thesis, in full or in part. Its most common version is that student A copies, or imitates in close detail, student B's work with student B's consent. But it also includes cases in which two or more students divide the elements of an assignment among themselves, and copy, or imitate in close detail, one another's answers.

7.5.8 It is an unfair means offence to copy, or imitate in close detail, another student'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.

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

7.6 Procedure Following an Allegation of Unfair Means

7.6.1 Alleged offences of unfair means will be reported to the appropriate Head of School for investigation. In the case of a postgraduate research degree, if the Head of School is also a member of the supervisory team, the allegation should be reported to the Chair of the Research Degrees Board who will appoint an alternative member of staff to investigate.

7.6.2 The Head of School will conduct the investigation with due expedition and fairness and without bias. The enquiries will be sufficiently thorough and objective to enable well-founded conclusions to be reached on the matter.

7.6.3 The Head of School will give the student the opportunity to put their case and may ask questions about the assessed work. The School will provide the student with a copy of any evidence used to support the allegation, including the Originality Report where relevant, with the formal notification letter inviting the student to the meeting.

7.6.4 The Head of School'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 below).

7.6.5 If the allegation is found to be proven the Head of School will consult with the Chair of the Assessment or Research Degrees Board to implement the appropriate academic penalty and report it to the Assessment or Research Degrees Board.

7.7 Academic Penalties for Taught Programmes

7.7.1 In the event of a single offence of unfair means in an undergraduate or postgraduate taught element of assessment, the appropriate penalty should be 0% for that element of assessment, and an overall fail for the module (which will be the resulting numeric average mark if below the minimum pass mark, or FR if the average would otherwise be a pass mark). The affected elements of the assessment must be resubmitted to the required standard. The mark for the module following resubmission will be restricted to the minimum pass mark.

7.7.2 Where unfair means is detected for the first time on a reassessment for an already failed module, no further reassessment for the module will be permitted, and the appropriate fail grade will be awarded.

7.7.3 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 or any other module within the course, the appropriate penalty should be 0% for the module with no opportunity for re-assessment. This penalty does not preclude the student being permitted to retake the module in a subsequent year.

7.7.4 The above penalties will apply where a student transfers from one UCLan course to another during their period of studies and module credits gained on the former course are transferred to the current course.

7.8 Academic Penalties for Postgraduate Research Degrees

7.8.1 In the event of a single offence of unfair means at any point in the postgraduate research student journey, including registration, transfer, annual progression or examination, the following penalties may be imposed:

- referral for reassessment with or without a further viva, where a viva formed part of the original assessment strategy;
- that the maximum level of award by defined as MPhil, where a student is seeking registration or is registered for a PhD;
- failure of the award.

7.8.2 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.

7.8.3 Where the outcome of the appeal states that the maximum level of award should be MPhil, the examination process must be completed to ensure the student meets the criteria for the award of MPhil.

7.9 Procedure following an Unfair Means Hearing

7.9.1 If the 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) the matter will be referred for action under the Student Disciplinary Procedure or the Fitness to Practise Procedure, where this corresponds with professionally body guidance.

7.9.2 A hearing under the Student Disciplinary or Fitness to Practise Procedure cannot change an academic penalty imposed by a Head of School or any decision reached by the Assessment Board. However, the outcome of the hearing will be made available to the Head of School and the Chair of the Assessment Board, who may review their decision based on the recommendations made at the hearing.

7.9.3 The Head of School will inform the student of the outcome in writing, normally within 5 working days of the meeting. The outcome letter will identify the evidence considered, the regulations applied, the decision and associated reasons and the student's right of appeal.

7.9.4 The student may appeal against the decision of the Head of School, where there are grounds, in line with the Academic Appeals Procedure (see Section 9 of this Handbook). Appeals should be made in writing within 10 working days of the decision to the Appeals Officer in Academic Registry using the First Stage Appeal application form. Students may seek independent advice and representation from the Students' Union Advice and Representation Centre.

7.9.5 Any matter dealt with under either the Academic Regulations or the Student Disciplinary Regulations which results in a sanction against a student which affects their academic progress will be reported to the Assessment or Research Degrees Board.

7.9.6 Where an allegation of unfair means has 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.

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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 second attempt to Transfer to PhD (and where exit at MPhil has been considered and is not an option);
    c. Sustained lack of engagement with studies or repeated absences;
    d. Failure to reach the appropriate academic level or progress at an appropriate rate;
    e. Failure to secure permission to enter the final year of study.

Before the RDT initiates the exclusion process, they will confirm to the Head/Dean of School and Research Degrees Board that the process is being initiated. There are three 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 Scope and Purpose

9.1.1 An academic appeal is a request by a student for a review of an academic decision made by an academic body which is responsible for making decisions on student progress, assessment and awards.

9.1.2 This Procedure applies to all students registered for a University award including those studying at partner institutions in the UK and abroad. It applies to all University awards including taught programmes and postgraduate research degrees, professional doctorates and professional awards.

9.1.3 Academic decisions include:

A decision by an Assessment Board or associated sub-committee on marks, classifications and progression, including decisions on early withdrawal or the use of unfair means.

A decision by the Research Degrees Board or associated assessor(s) on any assessment point in the postgraduate research student journey, including registration, transfer, annual progression and examination, including decisions on the use of unfair means.

9.1.4 This Procedure does not apply to decisions on disciplinary outcomes, fitness to practise or fitness to study outcomes for which there are separate appeals procedures in the Regulations for the Conduct of Students.

9.1.5 The University operates a Student Complaints Procedure for dealing with student complaints about any service provided by the University including academic related services. If you have a concern about course delivery or supervision, you should raise this at the time so that it can be resolved. The University reserves the right to re-classify an academic appeal as a complaint or vice versa, if the submission falls properly within the remit of one procedure rather than the other. Where an appeal relates to a service provided by the University this will normally be dealt with under the Student Complaints Procedure before the appeal is considered.

9.1.6 The University has robust procedures to ensure fairness in the assessment process. The grounds for appeal do not, therefore, include bias or perception of bias. If a student has evidence to support a claim of bias, this should be the subject of a complaint. If that complaint is upheld, and any proven bias may have been material to the outcome of an assessment, this outcome will be considered as an appeal.

9.1.7 It is your responsibility to ensure that applications for Extenuating Circumstances are communicated through the relevant Procedure at the appropriate time. If you submit evidence of Extenuating Circumstances after the decision has been made and you do not have good and valid reason for not submitting it at the right time, then your appeal may not be successful.

9.2 Principles

9.2.1 An appeal cannot be made against the academic judgement of the assessors, properly exercised. 'Academic judgement' means any decision about a student's assessment or progression that can only be made by an appropriate academic expert. An appeal may not be based on a questioning of the academic judgement of any properly appointed individual examiner and appeals on this basis will be ruled invalid.

9.2.2 Appeals submitted outside the deadline will be ruled invalid unless, exceptionally, you can show good reason why the appeal could not have been submitted earlier, with suitable supporting evidence.

9.2.3 At all stages of this Procedure, as a student you are entitled to be accompanied and/or represented by a person of your choosing, who may be from the Students' Union Advice and Representation Centre. This Procedure is intended to be fair and to comply with the rules of natural justice. The Procedure is not a formal court process and, therefore, should not be adversarial or overly legalistic, and there is no need for anyone to have formal legal representation. There is no objection if the accompanying person is legally qualified, so long as that person understands and respects the nature of the hearing, and does not adopt an overly adversarial or legalistic stance.

9.2.4 Where a student has declared a disability to the University, all endeavours will be made to ensure that information is available in appropriate formats and reasonable adjustments are made to the proceedings and facilities to accommodate their needs.

9.2.5 It is recognised that attendance at a hearing at the Preston campus may be problematic for students on distance learning awards or studying at partner institutions in the UK or overseas. Alternative arrangements will be considered including the opportunity to undertake the appeal by correspondence, video or teleconference, or to attend a hearing at a partner institution. In such cases, the timescales will be adjusted accordingly, although both parties will be expected to fulfil their respective responsibilities within a reasonable timeframe.

9.2.6 You will not be disadvantaged by submitting an appeal in good faith. Appeals which are judged to be vexatious, malicious or frivolous will not be considered. This may arise where the appeal clearly does not have any serious purpose, or where repeated appeals are unreasonable in all the circumstances.

9.2.7 All information submitted in relation to appeals will be dealt with confidentially and will only be disclosed to those persons involved in making a decision on the appeal, or as necessary to progress the appeal.

9.2.8 It is not within the remit of the Academic Appeals Procedure to adjust marks or classifications, unless there has been a calculation error.

9.2.8 All references in this Procedure to the Head of School include an appointed nominee.

9.3 Grounds for Appeal

9.3.1 A request for an appeal against an academic decision shall be valid only if it is based on one or more of the grounds listed below, and must be supported by suitable evidence:

that insufficient weight has been given to extenuating circumstances;

that the student's academic performance has been adversely affected by extenuating circumstances which the student has **for good reason** been unable to make known at the time;

that there has been a material administrative error at a stage of the process, or that some material irregularities have occurred;

that the assessment procedure and/or examination(s) have not been conducted in accordance with the approved regulations.

9.4 Process for Appealing Against Assessment Decisions

9.4.1 If you are not sure whether an appeal is appropriate, you should discuss the matter with a relevant member of staff e.g. module tutor, course leader, supervisor, research degrees tutor or Head of School. This will be an opportunity to seek clarification on your results and/or to discuss any concerns. You may seek such a meeting at any time without invoking the Academic Appeals Procedure.

This Procedure is a two-stage process. The First Stage must be completed before the Second Stage can be invoked.

9.5 First Stage Appeal

9.5.1 First Stage appeals must be lodged with the relevant Course Administration Service (CAS) Hub in the case of taught programmes, or the Research Student Registry (RSR) in the case of postgraduate research degrees, within 10 working days of the official notification of the academic decision you wish to appeal.

9.5.2 The First Stage appeal must state the grounds on which the appeal is made and should be accompanied by appropriate and relevant documentary evidence. The appeal should be submitted on the application form available at: https://www.uclan.ac.uk/students/study/examinations_and_awards/academic_appeals.php

9.5.3 The CAS Hub or RSR will acknowledge receipt of your appeal within 3 working days, and will refer it to the Faculty Director of Academic Development who will allocate the appeal to a member of staff with appropriate assessment expertise, who has had no previous involvement in the case.

9.5.4 The Chair of the First Stage Appeal will consider whether the appeal demonstrates valid grounds. If the Chair considers that valid grounds have not been demonstrated, you will be offered a meeting to explain why this is the case and to review the matter in the light of any representations by made by you. If the Chair concludes that there are no valid grounds, you may submit a Second Stage appeal.

9.5.5 If the Chair of the First Stage Appeal considers that there are valid grounds for appeal, a hearing with you will be arranged, normally within 10 working days of receipt of the request for appeal. You may be accompanied by a friend who may be from the Students' Union Advice and Representation Centre.

9.5.6 The Chair of the First Stage Appeal will ensure that you are invited to present your case at the meeting so that you have the opportunity to amplify the written case. The Chair of the First Stage Appeal will make enquiries that are appropriate and proportionate, will ask questions and consider evidence to enable a decision to be made about the appeal.

9.5.7 The Chair of the First Stage Appeal will normally inform you verbally (at the meeting) and in writing of the outcome of the appeal which may be that:

the appeal is upheld and referred back to the academic decision making body for reconsideration;
the appeal is upheld and the Chair of the First Stage Appeal takes immediate action on behalf of the academic decision making body. Where appropriate, the Chair of the First Stage Appeal will consult with the Chair of the academic decision making body to ensure the outcome is academically and professionally acceptable;
the appeal is turned down.

9.5.8 The Chair of the First Stage Appeal will be responsible for preparing a report of the First Stage meeting, which will be sent to you with the outcome letter. The outcome letter will identify the evidence considered, the findings of fact, the regulations applied, the decision and associated reasons, any remedy that has been identified and instructions on the next steps.

9.5.9 In all cases, you will be informed of your right to submit a Second Stage appeal if you have grounds to request a review of the outcome of the First Stage appeal, with details of the procedure and the timescale.

9.6 Second Stage Appeal

9.6.1 If the appeal is not satisfactorily resolved at the First Stage, you may submit a request for review to the Appeals Officer in Academic Registry (via cliaison@uclan.ac.uk) within 10 working days of the official notification of the First Stage appeal outcome.

9.6.2 The Second Stage 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 at:

https://www.uclan.ac.uk/students/study/examinations_and_awards/academic_appeals.php

9.6.3 A Second Stage appeal will take the form of a review. It will not normally consider the issues afresh or involve further investigation.

9.6.4 A Second Stage appeal will only be valid if it is based on one or more of the following grounds:

that the First Stage appeal process was not conducted fairly and/or in accordance with the published procedure;

that the decision of the First Stage appeal was not reasonable in all the circumstances;

that there is material new evidence that for good reason could not have been made known at the First Stage appeal.

9.6.5 Second Stage Appeal Panel

An Appeal Panel will be established to hear all Second Stage academic appeals, comprising:

Chair: Vice-Chancellor's nominee
Members: A senior member of staff with appropriate expertise in the assessment of taught courses or research degrees
An elected officer of the Students' Union

The Appeal Panel will not include any member of staff from your School or anyone else who has had any relevant prior involvement in the academic decision which is the subject of the appeal. The Chair shall rule in the event that objections are raised to the composition of the Appeal Panel.

9.6.6 Documentation for Second Stage Appeal Panels

The Appeals Panel will receive the following information:

the Second Stage appeal application and any supporting documents;
the outcome of the First Stage appeal meeting, including the meeting notes and outcome letter;
documentation from the Assessment or Research Degrees Board including extracts from the minutes, the Assessment Board profile, or the examiner's reports in the case of an appeal against a research degree examination decision;
documentation from the course/supervisory team concerning your academic performance including e.g. the outcome of any applications for extenuating circumstances; attendance record; details of any interruptions of study; annual progress reports; and details of academic support provided and any other relevant information.

The Appeal Panel will meet in private session to review the documentation and consider whether there are valid grounds for review.

The Appeal Panel may request further information from you or the School or the Chair of the First Stage Appeal, before making a decision.

9.6.7 Outcomes

The Appeal Panel will decide on the appropriate action as follows:

to decline the appeal and uphold the original decision of the First Stage appeal, in which case you will be notified of the decision and summary reasons, and your right to refer the matter to the OIA (see below);

to uphold the appeal and determine the outcome, including any actions to be taken by the School. Where appropriate, the Chair of the Appeal Panel will consult with the Chair of the academic decision making body to ensure the outcome is academically and professionally acceptable;

to refer the appeal back to the School to consider afresh, in cases where there is evidence of a material procedural irregularity or where valid new information has been submitted. The School will inform you and the Panel of the outcome of the re-consideration of your First Stage appeal, and you will have the further right of a Second Stage appeal;

to convene a hearing to hear the case by you and the response by the original decision maker, in cases where the facts and evidence are complex or contentious. The procedure for a Second Stage appeal hearing may be viewed at appendix 1.

The Appeals Officer will notify you, the School and the CAS Hub in writing of the decision of the Appeal Panel and the associated reasons, within 5 working days of the meeting of the Appeal Panel. The outcome letter will identify the evidence considered, the findings of fact, the regulations applied, the decision and associated reasons, and remedy that has been identified and instructions on the next steps.

9.7 Status of a Student during an Appeal

9.7.1 It is acknowledged that waiting for the outcome of an appeal may be stressful, but if you have referred assessments or other work to complete, you should continue with that work pending the outcome of your appeal unless advised otherwise by the School.

9.7.2 If you are appealing against a decision which prevents you from progressing from one year to the next or continuing on the course, you will not normally be permitted to progress to the next stage of study while an appeal is pending, but this may be granted in exceptional circumstances if considered academically

appropriate by your School, in consultation with Academic Registry. This will be on the understanding that if your appeal is not successful, you will discontinue study immediately.

9.7.3 If a student is on a course recognised by a professional and/or statutory body, the School has the right to suspend a student's placement and bursary (if they are in receipt of one) until the outcome of the internal appeal has been reached.

9.8 Independent Review

9.8.1 Where the University's Academic Appeals Procedure has been completed, the student will be provided with a Completion of Procedures advising of his/her right to request a review by the Office of the Independent Adjudicator for Higher Education (OIA). A Scheme Application form must be submitted to the OIA within 12 months of the date of Completion of Procedures letter. Details of the OIA scheme may be found at: www.oiahe.org.uk.

9.8.2 Monitoring and Review

The University will monitor the receipt and outcome of all First and Second Stage appeals to identify trends, areas of good practice and how the student experience could be enhanced.

Procedure for Hearing the Second Stage Appeal

The student and the Chair of the First Stage Appeal will be given 10 working days' notice by the Appeals Officer of when to appear before the Appeal Panel. The student may be accompanied by a representative or friend who may be from the Students' Union Advice and Representation Centre.

The Chair of the First Stage Appeal will present the case for the decision made at the First Stage appeal. S/he may be accompanied by another member of the course or supervisory team. The student, the Chair of the First Stage Appeal and the Panel members in the appeal hearing will be given copies of all documentary evidence submitted as part of the appeal.

The procedure for the hearing will be as below:

All parties are invited to join the hearing;
Introductions;
The student and the Chair of the First Stage Appeal are asked to confirm that they are 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 Chair of the First Stage Appeal states the position and reasons for the decision reached;
The student presents his/her case;
Questions from Panel members and/or the student/Chair of the First Stage Appeal;
The Chair of the First Stage Appeal's final comments;
Student's final comments;
The student and any representative and the Chair of the First Stage Appeal shall withdraw while the Panel deliberates the issue;
The student will normally be notified verbally of the decision and the associated reasons at the end of the hearing;
Written notification of the decision and the associated reasons will be sent to the student within 5 working days of the hearing;
The Panel may, at its discretion and in the interests of fairness: i. depart from this procedure; ii. seek further information; and/or iii. adjourn to a later date at any stage in the proceedings.

Following an Appeal Hearing, the Appeal Panel will decide on the appropriate action as follows:

to decline the appeal and uphold the original decision of the First Stage appeal, in which case you will be notified of the decision and summary reasons, and your right to refer the matter to the OIA (see below);

to uphold the appeal and determine the outcome, including any actions to be taken by the School. Where appropriate, the Chair of the Appeal Panel will consult with the Chair of the academic decision making body to ensure the outcome is academically and professionally acceptable.

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 conflicts 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 an 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 an 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.

12 Annual Assessment of Progress

Every research student will undergo an annual assessment of their progress. The exercise starts in late March each year and is designed to ensure every student has made sufficient progress with their research to submit by their thesis at the expected completion time has undertaken the necessary skills training, is receiving regular supervision and has access to appropriate facilities to enable them to complete their degree successfully. .

12.1 The Annual Assessment of Progress Exercise

There are 4 parts to the process:

1. Student self-assessment
2. Assessment by the supervisory team
3. Assessment by the Research Degrees |Tutor
4. Consideration and confirmation of the recommendation

• **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.
• **STUDENT** meets Supervisory team • **SUPERVISORY 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.
• **STUDENT** meets with the RDT • **RDT** 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: • **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 are exempt from the Annual Assessment of Progress Exercise. However, they are required to submit their supervisory records for the year.

12.2 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.

12.3 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 required 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 Re-assessment 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 31st May, ii) have returned from an authorised interruption of study since 31st 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.

12.4 The Research Student Progress File

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

Every student should be updating their Progress File throughout their studies, including after completion of any activity, training event, presentation, seminar attended etc.

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

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

The Progress File and Annual Assessment of Progression forms can be found in the Research Document Library:

Appendix 1
RESEARCH STUDENT DEADLINES

	DEADLINE							
ACTION	**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	*Not applicable*
DEADLINE FOR SUBMITTING 'RESEARCH PROGRAMME APPROVAL'	**Within 3 months**	**Within 6 months**	**Within 3 months**	**Within 6 months**	**Within 3 months**	**Within 6 months**	**Withi n 6**	*Not applicable*
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	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	June each year
FINAL DEADLINE FOR SUBMITTING APPLICATION FOR TRANSFER TO	**Within 18 months**	**Within 36 months**	*Not applicable*	*Not applicable*	*Not applicable*	*Not applicable*	*Not applicabl*	*Not applicable*
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	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**	**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 their supervisory team.
- Examination arrangements must be approved before the thesis can be submitted.
- Examination (*viva voce)* will usually take place 2 -3 months after examination
- While a student would be unwise to submit a thesis against the advice of supervisors, it is their right to do so. Equally, students must not assume that a supervisor's agreement to the submissions of a thesis guarantee s the award of the degree.

Key

FT = Full-time

PT = Part-time