PART FIVE

Academic Matters

Regulations, Policies and Procedures

The University has a range of regulations, policies and procedures, which exist for the purpose of protecting and supporting the highest standards within the University.

Readers are encouraged to be familiar with their existence.

The full policies and/or procedures are not included below – only key points are highlighted. Policies and procedures are also subject to annual review and the latest versions are available from the University’s website.

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Postgraduate Research Regulations

Postgraduate Research regulations have been provided for the Doctor of Philosophy programme only, the regulations for other research programmes are available from the University website provided below. All research degree regulations are subject to annual review and the latest versions will be available at: http://www.ncl.ac.uk/regulations/docs/

Doctor of Philosophy Degree Progress Regulations

Postgraduate research students are responsible for familiarising themselves with the Code of Practice for Research Degree Programmes approved by Senate, which is reviewed annually and made available each academic year and included in the Handbook for Research Students and Supervisors.

These regulations should be read in conjunction with the Examination Conventions for Doctor of Philosophy by Thesis (section XV) for all doctoral programmes, except where programme specific regulations have been approved by the University Learning, Teaching and Student Experience Committee (ULTSEC).

The basis for the award of the degree of Doctor of Philosophy to staff candidates shall be the same as the basis for the award of the degree to students.

A. Introduction

1. Applicants for the degree of Doctor of Philosophy are required to show ability to conduct original investigations, to explore critically, evaluate and test their ideas, and those of others, and to relate them to a wider body of knowledge. (The University Handbook for Examiners of Research Degrees provides further details in the section, ‘Criteria for the Doctorate’.) A doctoral thesis should be a body of work which a capable, well-qualified and diligent student, who is properly supported and supervised, can produce in three years of full-time study (or equivalent for part-time study). It should exhibit substantial evidence of original scholarship and contain material worthy of publication.

2. Applicants, including members of staff, who are approved for admission as students for the degree of Doctor of Philosophy under these regulations, will be required to pay the fees for the degree as set out in the annual Fees Schedule.

3. Where the University has approved that research students may be registered and managed by a research institute, the director of the institute has the same authority and responsibility as a head of school. In these situations references to school and head of school include institute and director of institute.

B. Admission as a Student for the Degree of Doctor of Philosophy

4. An applicant may be approved for admission as a student for the degree of Doctor of Philosophy by a minimum of two postgraduate admissions selectors in accordance with the University’s Postgraduate Admissions Policy and...
faculty/programme criteria approved by respective deans of postgraduate studies, where an applicant:

a) is a graduate of this or another approved university or other approved degree-awarding body or who holds other qualifications approved by the dean of postgraduate studies;

b) has completed an approved application including:

i. evidence of the applicant's suitability to become a student in terms of academic ability and prior training and experience.

ii. evidence that the applicant's English language proficiency meets the published requirements for the programme of research;

iii. a research proposal, if required;

c) has supplied details of two recent referees and evidence of prior qualifications and experience as the postgraduate admissions selectors and/or the dean of postgraduate studies may require.

5. Where an applicant has previously studied for a Doctor of Philosophy at another institution and wishes this to be taken into account at Newcastle University, the application must be approved by the dean of postgraduate studies.

6. In considering an application for admission as a student for the degree of Doctor of Philosophy, the postgraduate admissions selectors must be satisfied not only as to the suitability of the applicant, but also as to the availability to the applicant of appropriate supervision and suitable facilities and resources once the applicant is admitted. It is the responsibility of the relevant head of school, directly or through the postgraduate admissions selectors, to ensure that appropriate supervision, suitable facilities and resources will be available to an applicant once admitted.

C. Admission as a Staff Candidate for the Degree of Doctor of Philosophy

7. In addition to the requirements set out in Regulation B, a member of staff seeking approval as a staff candidate for the degree of Doctor of Philosophy shall be required to complete and submit an application at the outset of studies in which is set out:

a) a description of proposed research as specified by the relevant Faculty;

b) details of the nature of the appointment held by the member of staff and its duration;

c) approval from both the head of the school of employment and the head of school of study.

Note: For the purpose of agreeing staff fee, the applicant must hold a substantive post, defined as being a contract of employment of at least 25% FTE over a full 12 months period, and covering the annual period of registration with the University. This does not include people who were initially Students and then employed part-time by the University, e.g. as demonstrators, General Duty Assistants, Laboratory Technicians, etc.
D. Conditional Candidature

8. An application for admission as a student for the degree of Doctor of Philosophy will be approved conditionally. During the first year of study for those students studying full-time (second year for those students studying part-time), Doctoral candidature status will normally be confirmed following a recommendation of satisfactory progress by the progress panel, which is confirmed by the dean of postgraduate studies.

E. General Preconditions to the Award of the Degree of Doctor of Philosophy

9. Before being awarded the degree of Doctor of Philosophy, a student must:
   a) satisfy the entrance requirements for the degree;
   b) register for and make satisfactory progress throughout the relevant programme of study;
   c) satisfy the examiners in the assessments specified.

F. Supervision of Students

10. A student for the degree of Doctor of Philosophy must engage in advanced study and research under the direction of a supervisory team in the University. The supervisory team normally consists of at least two members of University staff and the academic supervisor is appointed by the head of school, or nominee, before a student is accepted onto the programme of study.

11. To be eligible to supervise students for the degree of Doctor of Philosophy, a member of staff must hold the degree of Doctor of Philosophy or an equivalent research degree or have equivalent research expertise. The appropriateness of an equivalent research degree or expertise should be determined by the relevant head of school in consultation with the dean of postgraduate studies.

12. The academic supervisor will be a member of staff of Newcastle University and will normally have had previous experience of at least one successful supervision. The academic supervisor will have primary responsibility for supporting the student throughout the period of study. Any reference to the supervisor in these regulations or in the Code of Practice for Research Degree programmes or in other documents shall be deemed to be a reference to the supervisory team.

13. In any case where students are studying outside the University at another institution, arrangements may also be made for local supervision and support to be provided to the student by staff at that institution (see Regulation 17d). Such arrangements will supplement the role of the supervisor detailed in Regulation 12 above. Where External Supervisors are added to the supervisory team, the Principles for External Supervision Arrangements should be consulted at

http://www.ncl.ac.uk/ltds/assets/documents/qshexternalsupervisionarrangements.pdf

Notes:
(i) Where the members of the supervisory team are permanently changed students should normally be consulted in advance. The outcome of the consultation informs decisions made regarding the supervisory team.
(ii) On rare occasions supervisory relations may break down. In such circumstances, in the first instance students should consult with another member of the supervisory team. If it is not possible to resolve the problems in this manner, then the student and/or a member of the supervisory team should report difficulties, in writing, to the head of school (or nominee), who may refer the matter, if necessary, to the relevant graduate school administrator or dean of postgraduate studies for advice.

(iii) All supervisory changes must be notified to the relevant graduate school administrator and be agreed by the dean of postgraduate studies.

(iv) The Code of Practice for Research Degree Programmes provides further details on changes to supervisory teams and on appropriate supervisory support for research students.

G. Type of Candidature, Period of Study and Registration Requirements

14. An applicant may be approved by the postgraduate admissions selectors as a student for the degree of Doctor of Philosophy in any of the following categories:

a) as a student whose minimum period of advanced study and research in the University shall normally be not less than three years of full-time study;

b) as a student whose minimum period of advanced study and research shall be not less than four years, of which normally not less than one year shall be spent in full-time study in the University, in periods of at least three months duration;

c) as a student whose minimum period of advanced study and research shall be not less than six years of part-time study.

Notes:

(i) Students will normally only be registered under Regulation 14(b) if this is specified in their offer of admission. Students will not normally be transferred on to Regulation 14(b), if they have previously been registered under Regulation 14(a) or 14(c).

(ii) Staff candidates shall be deemed to be registered as part-time students during their period of candidature and therefore, this shall normally be six years in length as outlined in Regulation 14(c). However, if the dean of postgraduate studies is satisfied that the greater part of the candidate’s time is devoted to supervised research the candidature can be deemed to be 3 years of full-time study as outlined in Regulation 14(a).

(iii) The normal expectation is that a student will study at the Newcastle University, London, or overseas campuses. If study will be carried out away from these approved campuses and this is known at the admissions stage, then ‘Outside Study’ approval should be sought from the dean of postgraduate studies, in advance of registration on the programme.

15. Any student who wishes to transfer from one of the categories of candidature specified in Regulation 14 to another such category may do so only with the approval of the appropriate dean of postgraduate studies and subject to the recommendation of the supervisory team and head of school, or nominee.
16. In all cases of candidature approved under Regulation 14, approved students shall be required to register continuously from commencement of their candidature until completion. During this time a student must abide by the requirements of the University's General Regulations. A student's period of study shall be reckoned from the date of first registration for the degree of Doctor of Philosophy or Master of Philosophy.

H. Study Undertaken Outside the University

17. Any student may be permitted by a dean of postgraduate studies, on the recommendation of the relevant supervisory team and head of school, to study outside the University (or an approved campus) for more than one month, provided that in respect of any period of study not undertaken in the University (or an approved campus) the dean of postgraduate studies is satisfied before the beginning of that period of study that:

   a) the student will have access to adequate facilities, resources and appropriate research training;
   b) sufficient time for study and research will be available to the student;
   c) appropriate arrangements have been made for the student's supervision and progress monitoring during the period of study outside the University, including arrangements for the supervisory team to maintain contact with and to meet with the student in accordance with requirements stated in the Code of Practice for Research Degree programmes and as often as is necessary;
   d) appropriate arrangements have been made in any case where the student is attached to or working at an institution outside the University and is offered local supervision and support by staff at that institution;
   e) any relevant health and safety issues have been considered and approved by the head of school/nominee in line with University guidelines and University Insurance policies.

Approval should normally be sought three months in advance of the start of the period of outside study.

All study visits, of any duration, by students to high-risk locations (as specified in the Postgraduate Student Travel and Outside Study Policy http://www.ncl.ac.uk/students/progress/assets/documents/PGStudent-Travel-Outside-Study-PolicyJuly15.pdf), must also be signed off by the dean of postgraduate studies, or faculty PVC under certain circumstances.

Notes:

(i) that periods of study outside the University of less than one month should be agreed within the student’s school and the student should complete a Student Notice of Absence form.

(ii) that any student who is permitted to undertake part of their study outside of the University is still required to pay the standard fees whilst within their candidature, unless alternative arrangements were approved as part of the admission process.

(iii) that any student who is permitted to undertake part of their study outside of the University is still required to have their attendance monitored on the
programme, including time registered as a pending or extended submission student.

(iv) that any student who is permitted to undertake part of their study outside of the University is still required to adhere to their deadline for submission, unless an extension or interruption of studies has been agreed as part of the outside study approval.

(v) that students who are Tier 4 visa holders are required to inform the University if they are away from Newcastle (or approved campus) as a condition of their visa sponsorship.

J. Attendance and Progress

18. A student registered for the degree of Doctor of Philosophy shall comply with the University's requirements for progression, as follows:

a) Within one month of registering for the research programme, the student and the University shall have signed an approved learning agreement to cover the period of candidature;

b) Students should submit project proposals within the guidelines identified by the relevant graduate school committee, up to a maximum of three months (six months for part-time students) from registering for the research programme. The student's project proposal must be approved by an independent school panel and head of school/nominee, before being submitted for approval by the dean of postgraduate studies. Where a student's project proposal has already been reviewed and approved by external peer review, a project plan and supervisory team list should still be submitted to the panel for approval before being submitted for approval by the dean of postgraduate studies.

Progression on the programme will be dependent upon acceptance of the project proposal. If the school panel is unable to support the initial project proposal, a student will be permitted an opportunity for re-assessment, normally within three months (six months for part-time students). If, even after a re-assessment opportunity, the school panel does not approve the arrangements for the project it will be the annual progress panel that will be required to make a recommendation regarding the outcome for a student (see Regulation 21);

c) Students should attend the University as frequently and at such intervals as the supervisory team shall require, bearing in mind whether the student is registered as full-time or part-time and allowing for any period of study undertaken outside the University. As a minimum for full-time students, in accordance with the Code of Practice for Research Degree Programmes, students should have regular contact with their academic supervisor at least ten times a year, approximately once per month, and should have formal contact with their supervisory team at least three times a year, normally once per term (structured interactions for part-time students should be pro-rata) while they are in candidature. The University requires that students record and confirm the outcomes of supervisory meetings, via ePortfolio.
d) In addition to c) above, students who are Tier 4 visa holders should continue to record and confirm the outcomes of their regular supervisory meetings, via ePortfolio while under examination through to completion of their studies, as a condition of their visa sponsorship.

e) Students should maintain a record of their personal development throughout their period of registration and submit this as evidence of development on an annual basis to their progress panel;

f) Students should submit reports and evidence of achievement as specified by the school or faculty graduate school committee on an annual basis. Students may also be required to make a project presentation or submit a piece of work or to attend a viva as prescribed by the school. This material, along with reports from the supervisory team, will be considered as part of an annual submission to the progress panel for each student.

19. The school will appoint a progress panel for each student. The progress of each student will be reviewed annually via ePortfolio until submission of the thesis for examination. In accordance with Regulation 8, a satisfactory progress outcome during the first year of study for those students studying full-time (second year of study for those students studying part-time) will result in confirmation of Doctoral status.

20. The supervisory team shall submit an annual report via ePortfolio concerning the progress of the student’s research for review by the appointed progress panel until submission of the thesis for examination.

21. The progress panel will make a report to the dean of postgraduate studies via ePortfolio and further progress on the programme of study is subject to approval by the dean of postgraduate studies. In addition to detailed feedback that the progress panel may wish to provide to the student and the supervisory team, the progress panel will make one of the following recommendations:

i. that the student’s performance is satisfactory and that the student can proceed to the next stage. If the student is a stage 1 student the candidature to study for the Doctor of Philosophy is confirmed;

ii. that notwithstanding some concerns, which the student and supervisory team should note, the student’s overall performance is satisfactory and that the student can proceed to the next stage. If the student is a stage 1 student the candidature to study for the Doctor of Philosophy is confirmed;

iii. that the student’s performance is unsatisfactory and that a further assessment should be held normally within two months (four months for part-time students) to determine whether progress on the programme will be recommended;

iv. that the student’s performance is unsatisfactory and that a submission for a Master of Philosophy examination is recommended instead of a submission for a Doctor of Philosophy examination;

v. that the student’s performance is unsatisfactory and that no submission for a Master of Philosophy or Doctor of Philosophy examination is recommended, and that the candidature is terminated.
22. In exceptional cases where the progress panel is not satisfied that the supervisory arrangements are adequate and appropriate, but considers that the student would otherwise be able to achieve the standards of the award, the panel may seek the approval of the head of school, to make a recommendation to the dean of postgraduate studies for the replacement of all or part of the supervisory team.

23. The annual progression review procedure will be deemed equivalent to a board of examiners and therefore the University's procedure for assessment irregularities shall apply to any reported or suspected cheating or plagiarism. The procedures are available at http://www.ncl.ac.uk/students/progress/Regulations/SPS/assessment.htm.

24. A student whose progress is not deemed sufficient to continue studying for the degree of Doctor of Philosophy may nonetheless be deemed by the progress panel to have made satisfactory progress as a student for the degree of Master of Philosophy. In such a case the student shall be permitted to submit a thesis for the degree of Master of Philosophy. The normal expectation in such cases, is that a student will be in a position to either: submit immediately for the Master of Philosophy; or submit for the Master of Philosophy following a period of pending submission, which should be up to one year following the date of the decision to downgrade. A student will not normally receive an additional period of candidature.

25. Where the progress panel recommends submission for a Master of Philosophy, instead of a Doctor of Philosophy, there will be no expectation of an upgrade back on to the Doctor of Philosophy at a later stage.

26. Exceptionally, the student may be permitted to continue studying for the degree of Doctor of Philosophy for a further period and be reconsidered for confirmation of their candidature for the degree of Doctor of Philosophy at a later date. Such cases should be reconsidered no later than two months after the initial decision (four months for part-time students).

27. A student registered for the degree of Doctor of Philosophy whose progress is deemed unsatisfactory at Research Masters degree level shall not be permitted to continue as a registered student for either degree, and registration will be terminated.

Notes:

(i) That the progress panel should not normally recommend that a student’s registration is terminated (Regulation 21(v)), without having previously provided a further assessment opportunity to the student (Regulation 21(iii)).

(ii) That any further assessment opportunity should be recorded via ePortfolio.

(iii) In each Annual Progress Review, a student should normally only have one further assessment opportunity.

K. Confirmation of Registration for the Degree of Doctor of Philosophy

28. Students registered for the degree of Doctor of Philosophy shall have their progress reviewed (in accordance with Regulation 18) during their first year of study for those students studying full-time (second year for part-time students), with a view to determining whether or not a recommendation should be made to the appropriate dean of postgraduate studies (via the progress panel) that
they should continue studying for the degree of Doctor of Philosophy (see also Regulation 8).

L. Mid Year Procedure for Dealing with Unsatisfactory Progress

29. A student whose progress is considered unsatisfactory by the supervisory team at times other than the normal annual assessment of progress shall be notified in writing of the reasons for this opinion and shall be given the opportunity of an interview with the supervisory team. Following this notice and any interview, and taking account of all known circumstances, the supervisory team may, either

   a) monitor the student's attendance, progress and performance for a specified period; this may require the undertaking of additional pieces of work. If the student's performance has not improved within the period specified in the written notice, the supervisory team shall notify the head of school or nominee and submit a report for review by the progress panel.

   or

   b) the supervisory team shall notify the head of school or nominee and submit a report for review by the progress panel without undertaking a period of monitoring.

In either case, where a report is made to the progress panel for review of the student’s progress, the student shall also be given the opportunity to submit a report to the progress panel. The progress panel will make a report and recommendation to the dean of postgraduate studies (in accordance with Regulation 21). This review should be carried out via ePortfolio.

M. Procedure for Review of Penalties for Unsatisfactory Progress

30. A student applying for review of the decision of the progress panel may only do so in writing, using the University Academic Queries and Appeals Procedure http://www.ncl.ac.uk/students/progress/Regulations/SPS/appeals.htm, specifying one or more of the following grounds:

   a) the progress panel were not aware of circumstances affecting the student’s performance. (That is: the student was adversely affected by illness or other factors of which s/he was previously unaware, or which for a good cause, s/he was unable to disclose to the progress panel, or unable to provide evidence at the time);

   b) procedural irregularity on the part of the progress panel;

   c) bias or prejudice on the part of the progress panel.

   d) that the decision reached was perverse in that it was one which no reasonable person could have reached on the available evidence.

N. Interruption of Study

31. The University normally expects students to complete their candidature in a single continuous period, i.e. to be continuously registered until completion. Sympathetic consideration will be given to requests for periods of interruption, however, candidature should not normally be held in abeyance for more than twelve months. An Interruption to registration may be granted by the appropriate dean of postgraduate studies, subject to the student providing a strong justification, supported by the supervisory team. A request for any period
of absence of more than one month should be submitted to the graduate school administrator as soon as possible prior to the time of occurrence. The request should be supported by evidence and approved by the dean of postgraduate studies.

Notes:

(i) As a result of a formal interruption of study a student’s latest submission deadline will be adjusted accordingly.

(ii) Absences of less than one month should be recorded via the Student Notice of Absence form but do not constitute a formal interruption of study and as such the latest submission deadline is not adjusted.

P. Teaching Duties

32. Students for the degree of Doctor of Philosophy may undertake paid duties in the University in any period of full-time study, provided that they consult their academic supervisor about the time that may be devoted to such duties and provided that they do not contravene the terms of any studentship that they might hold and/or any visa restrictions. Ordinarily, this will mean that teaching duties are additional to the normal commitments of a sponsored full-time student. All teaching must be conducted in accordance with the University’s Postgraduates Who Teach Policy

http://www.ncl.ac.uk/ltds/assets/documents/qsh-pgswhoteach-pol.pdf

R. Submission for Examination by Thesis

33. The results of a student’s advanced study and research must be embodied in a thesis in the approved form in accordance with the Rules for the Submission of Work for Higher Degrees and the Rules for the Form of Theses (see items XVIII and XIX). The length of a thesis shall be determined, bearing in mind the requirements laid down, or guidance issued, if any, by the student's graduate school committee. The thesis must be submitted, together with the completed and signed submission form and other relevant material, to the graduate school administrator.

In addition to the soft bound copies of the thesis, students must also submit an electronic copy of the thesis, to allow the University to operate plagiarism identification software. If any incidences of plagiarism are detected then the University’s Procedure for Assessment Irregularities will apply

http://www.ncl.ac.uk/students/progress/Regulations/SPS/assessment.htm

34. The exact title of a student’s thesis must be submitted on ePortfolio for approval by the dean of postgraduate studies normally three months before the thesis is submitted. Any change to the approved title of thesis following the initial approval must be notified to the relevant graduate school administrator and be agreed by the dean of postgraduate studies.

35. The thesis for all students must be submitted for examination within the period specified below from the date appointed as the beginning of the period of study:

   a) within four years in the case of students proceeding under the provisions of Regulation 14(a);

   b) within five years in the case of students proceeding under the provisions of Regulation 14(b);
c) within seven years in the case of students proceeding under the provisions of Regulation 14(c).

36. Except with the permission of the appropriate dean of postgraduate studies, a student may not submit a thesis earlier than the beginning of the last term of the prescribed period of study. Any student who submits a thesis earlier than the minimum period of advanced study and research with appropriate permission, shall nevertheless still be required to pay tuition fees (full-time or part-time as appropriate, depending on the type of candidature) for the whole of the minimum prescribed period of study.

S. Pending Submission for Students completing their minimum period of Candidature

37. All students, who have completed their minimum candidature and have not submitted their thesis may be permitted on the recommendation of their progress panel to proceed to ‘pending submission’ student status for one further year. All ‘pending submission’ students are required to register with the University.

Notes:

(i) Students who have completed their minimum candidature and who still require more time to work on their research and thesis must continue full registration with the University.

(ii) The fact that a student has completed their minimum candidature does not of itself constitute grounds for transferring to ‘pending submission’ registration. Students who are still actively researching must continue full registration and will pay the full tuition fee for the period of their continued candidature. Students registering under the ‘pending submission’ category will not be permitted to work in laboratories or studios or to take part in field trips (unless they have the authority of the appropriate head of school to do so for teaching or demonstrating purposes).

(iii) It is expected that students who are registered as ‘pending submission’ will continue to receive regular structured interactions with members of the supervisory team and full access to Library and computing facilities will be available.

T. Extensions of Time for Submission

38. Students must submit within their maximum candidature, however, in exceptional cases, an extension of time for submission may be granted by the appropriate dean of postgraduate studies, subject to the student providing a strong justification and evidence for an extension, supported by the supervisory team. The request for an extension of time for submission should normally be submitted to the graduate school administrator before the current deadline for submission. Students granted extensions of time in accordance with this provision will be required to register as ‘extended submission’ students and pay tuition fees as stipulated in the University’s fee schedule.

Notes:

(i) Students who are still actively researching must continue full registration and will pay the full tuition fee for the period of their continued candidature.
(ii) It is expected that students who are registered as 'extended submission' will continue to receive regular structured interactions with members of the supervisory team and full access to Library and computing facilities will be available.

U. Language of Submission

39. A student’s thesis must be written in English. In exceptional cases, subject to the student justifying such a concession, the appropriate dean of postgraduate studies may allow the student to submit a thesis written in a modern language other than English. Such a concession shall be granted only where a student can demonstrate that the language of submission is integral to the research project, for example where the object of study is an aspect of the literary or linguistic culture of the language of submission and/or a significant proportion of the secondary literature on the object of study is written in the language of submission. Approval for submission in a language other than English must be sought at the time of application to study for the degree. Where approval is granted, the abstract of the thesis must be written in English and any viva voce examination must be conducted in English.

Note: The University cannot undertake to arrange the examination of a thesis immediately after its submission. Students are warned that several weeks may elapse between the submission of a thesis and the completion of the examination. The normal period between submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame. Candidates shall be kept informed of the progress of the examination at monthly intervals by the Graduate School Administrator, should the examination process extend beyond the normal ten week period.

V. Examination

40. Details of the required arrangements for the examination are provided in the XV Doctor of Philosophy Examination Conventions.

Doctor of Philosophy Examination Conventions

A. Scope

1. These Examination Conventions apply to all candidates at Newcastle University who, having met the requirements of the University's General Regulations and the Doctor of Philosophy Degree Progress Regulations, are eligible to submit for examination for the degree of Doctor of Philosophy.

These Examination Conventions apply to a submission either by thesis or by published work. Where these examination conventions refer to a thesis, they also apply to a published work submission by staff candidates. The basis for the award of the degree of Doctor of Philosophy to staff candidates shall be the same as the basis for the award of the degree to student candidates.
Notes for Published Work Submissions – for Staff Candidates Only

(i) A submission by published work is only available to candidates registered as staff candidates. A member of staff who wishes to be a staff candidate for the degree of Doctor of Philosophy on the basis of the submission of published work must have held an appointment in the University for a continuous period of at least three years at the time of submission and the study and research carried out during the candidate’s period of appointment must have formed a significant contribution to the published work.

(ii) The published work submitted should overall be seen to be broadly comparable to a PhD thesis in the same discipline, so that it is evidently the result of a sustained level of recent research activity normally in a single field of study to which it makes an original contribution.

(iii) The submission shall consist of a collection of published material including papers, chapters, monographs or books. The publication of papers shall normally have taken place in refereed journals, or other journals held in high standing by academics working in the relevant field. Books, monographs, and chapters in books shall normally have been published by established publishing houses or other recognised publishing media. The publications submitted shall normally relate to work undertaken during a minimum period of three years and a maximum period of six years.

(iv) Work shall only be regarded as published if at the time of submission copies of the work are generally obtainable through normal sources, such as publishing houses, bookshops and academic libraries. Proofs of papers not yet published but accepted for publication are acceptable. However, reports or other documents prepared for organizations such as private companies, government departments or charities or for internal University purposes are not acceptable unless they have been published widely outside the organization for which they were prepared.

B. Appointment of Examiners

2. A candidate’s thesis shall be examined by examiners appointed by the dean of postgraduate studies on behalf of Senate. The examination shall consist of a review and assessment of the candidate’s thesis (and where appropriate, other artefacts) by the examiners appointed and of an oral examination on the content of the thesis and subjects related thereto. A candidate may also be encouraged to give a presentation of the work embodied in the thesis in the form of a public lecture or seminar.

3. There shall ordinarily be one external examiner and one internal examiner appointed for each candidate. For staff candidates, the examination shall normally be conducted by two external examiners for each candidate although for junior members of staff, at the discretion of the dean of postgraduate studies, one external and one internal may be appointed.

4. All examiners will be nominated by the relevant head of school in consultation with the candidate’s academic supervisor. Such nominations shall be submitted on the approved form at the same time as the candidate submits an application for approval of thesis title. This should normally be three months before the thesis is submitted. (The Code of Practice for Research Degree Programmes provides further details in the section, ‘Criteria for Appointment of Examiners’.)
5. Where the University is unable to appoint, or chooses not to appoint, an internal examiner for a student candidate, a second external examiner will be appointed.

6. In all cases where two external examiners are appointed, the dean of postgraduate studies will also appoint an independent member of University staff who will chair the oral examination. The Independent Chair will normally be from outside the candidate’s school/institute. The independent chair is not an examiner of the thesis but provides guidance on University regulations and procedures to ensure that the oral examination is conducted in accordance with normal University practice. The Independent Chair is required to be present for the duration of the oral examination. (The Code of Practice for Research Degree Programmes provides further details in the section, ‘Criteria for Appointment of Examiners’.)

7. The supervisory team will provide candidates with the opportunity to comment on the nominated examiners. If the candidate believes that there is a concern about the nominated examiners this should be drawn to the attention of the supervisory team and the head of school in writing, as soon as possible. Examiner appointments will, however, be reviewed only if it is clear that there may be bias or prejudice by an examiner.

8. A former member of staff of the University shall not normally be appointed as an external examiner until at least five years have elapsed since that person left the employment of the University. A retired member of staff of the University shall not normally be appointed as an external examiner. A retired member of staff of another institution may be appointed as an external examiner only if he or she is still active in the field of research and study concerned.

Note: The University cannot undertake to arrange the examination of a thesis immediately after its submission. Candidates are warned that several weeks may elapse between the submission of a thesis and the completion of the examination, and they should consult their academic supervisor at least three months in advance of submission. The normal period between submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame. Candidates shall be kept informed of the progress of the examination at monthly intervals by the Graduate School Administrator, should the examination process extend beyond the normal ten week period.

C. Examiners’ Preliminary Reports

9. The examiners should independently write a preliminary report indicating their provisional assessment of the thesis and of the issues to be explored in the oral examination. It is expected that, if the criteria for the award of the degree have clearly been met, the preliminary reports will be very brief (a single paragraph). If, on the other hand, the examiners have serious concerns about whether the criteria have been met, fuller reports will be expected. Each examiner's preliminary report should be sent to the relevant graduate school administrator in advance of the oral examination taking place. Examiners should not consult with each other before both independent reports have been submitted to the graduate school administrator. The reports will be forwarded to the relevant dean of postgraduate studies. They must not be shown to the candidate or the supervisory team in advance of the oral examination. But examiners should be aware that preliminary reports will be made available to
candidates after the oral examination if they request them under the provisions of the Data Protection Act.

10. Exceptionally, and two weeks or more in advance of a scheduled viva, if the external examiner upon initial independent review of the thesis is unequivocally of the view that the thesis is not worthy of defence without significant re-work by the candidate, s/he shall contact the graduate school administrator. The dean of postgraduate studies shall then determine whether it is appropriate for extraordinary arrangements to be put in place for the examiners to confer before the scheduled meeting. If approved by the dean, the examiners will be permitted to prepare a joint report. The decision reached under these arrangements shall be limited to Convention 29 (biii) only – i.e. permitting resubmission, and the terms of Convention 34 must apply. An oral examination will be required after resubmission.

D. Personal Extenuating Circumstances

11. Following submission of thesis, if a candidate is aware of any circumstances that may prevent them from attending the oral examination, these should be brought to the attention of their supervisor and the graduate school administrator immediately, to determine if it necessary to delay the oral examination.

12. A candidate should also contact their supervisor and the graduate school administrator if there are personal circumstances they believe could impact on their performance at the oral examination. This information will be provided to the examiners in advance of the oral examination, to determine if any reasonable adjustments are required.

13. Irrespective of personal circumstances, examiners will be expected to assess the candidate against the doctoral assessment criteria.

14. By attending an oral examination, a candidate is declaring that they are fit to attend the examination and, as such, it is unlikely that a candidate would be able to submit a later claim that their performance was affected by personal circumstances.

E. Nature of the Examination

15. The examination shall consist of a review and assessment of the candidate’s thesis by the examiners appointed and of an oral examination on the content of the thesis and subjects related thereto, chaired by the external examiner, where an independent chair has not been appointed. The viva shall be conducted in accordance with the guidelines in the University’s Handbook for Examiners of Research Degrees.

16. The purpose of the oral examination is to enable the examiners to:
   a) establish that the research has been undertaken by the candidate;
   b) test the ability of the candidate to defend his or her thesis;
   c) establish whether the candidate has a satisfactory knowledge of the wider field surrounding the research topic.

17. In exceptional circumstances the dean of postgraduate studies may, subject to the agreement of the examiners, exempt a candidate from the oral examination, subject to alternate arrangements being in place to assess the above aspects.
18. In examining a candidate’s thesis, the examiners should take into account the assessment criteria detailed in the ‘Criteria for the Doctorate’ section of the University Handbook for Examiners of Research Degrees.

19. The results of the research and study must be satisfactorily presented in the thesis which should include matter worthy of publication. The thesis itself need not however be submitted in a form suitable for publication.

20. In the case of any work done jointly, or in wider collaborations, or under direction, it is important that the extent of the candidate’s own contribution is made clear both in any introductory element of the thesis and at relevant points within the thesis.

F. Public Presentation

21. In association with the examining process, a candidate may be encouraged to give a presentation of the work embodied in the thesis in the form of a public lecture or seminar. Such a presentation shall not, however, form part of the formal examination and shall not contribute to the examiners’ decision on the candidate’s performance.

G. Role of the Supervisory Team during the Examination

22. A member of the supervisory team will not be appointed as an internal examiner.

23. The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. S/he should in all cases be available to be consulted by the examiners on the occasion of the oral examination. The academic supervisor will have the right to confer with the examiners following the oral examination, and to be given an oral report on its outcome.

24. The academic supervisor will co-ordinate the arrangements for the oral examination and inform the graduate school administrator of the details.

25. Under no circumstances should the arrangements for the oral examination be delegated to the candidate. There should normally be no direct contact between the candidate and the examiners before or after the oral examination.

H. Examiners’ Final Reports

26. Having considered all the evidence presented to them, the examiners shall submit a joint report form on the examination. The report shall include a written statement concerning the candidate’s performance and the manner in which the work submitted has contributed to the advancement of knowledge and understanding, together with a recommendation as to the outcome of the examination. The report should also address directly any concerns raised in the preliminary reports and make clear the areas required for amendment if they require revisions or resubmission (See Convention 42).

27. The joint report must be sent to the relevant graduate school administrator. The report will be forwarded to the dean of postgraduate studies who shall consider it and decide whether due process has been followed. Exceptionally, the dean of postgraduate studies may require further information from the examiners to justify their decision. After consideration of the report by the dean of postgraduate studies, copies of the joint report will be sent to the candidate and the supervisory team by the relevant graduate school administrator (unless there is disagreement between the examiners, see Conventions – 44-46 below).
A copy shall also be sent to the head of school or nominee, unless otherwise directed by the dean of postgraduate studies.

28. Where two external examiners have examined the thesis and it is agreed that revisions are required (in the recommendations 29 a.ii or a.iii or c.ii or c.iii) they should agree between them which examiner shall receive the revised thesis and ensure that the required revisions have been made.

Note: that preliminary reports and a joint report should be completed for all examinations requiring the input of both examiners. This applies to both first submission and re-submission.

I. Recommendations Open to the Examiners

29. Following the first submission and examination of a candidate, the examiners may only make the following recommendations:

a)  
   i. that the candidate be admitted immediately to the degree of Doctor of Philosophy; or
   
   ii. that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections, (e.g. of detail or presentation but not involving changes to the substance of the text/doctoral statement) made to the satisfaction of the internal examiner, within a period of one month of receiving formal notification of the corrections to be made; or
   
   iii. that the candidate be admitted to the degree of Doctor of Philosophy subject to minor revisions, (e.g. of a more substantial nature than in ii above, but not involving a major revision of the thesis/doctoral statement) being made to the satisfaction of the internal examiner, within a period of up to six months of receiving formal notification of the revisions to be made.

b)  
   i. that the candidate’s thesis/submission be deemed to be of a satisfactory standard, but that the candidate be adjudged to have failed to satisfy the examiners in the oral examination and that the candidate therefore be required to submit within six months either for a second oral examination or for a written examination, as the examiners shall determine in their written report; or
   
   ii. that the candidate be adjudged to have failed to satisfy the examiners in the thesis/submission and the candidate be permitted to revise and re-submit the thesis/submission within twelve months for re-examination by both examiners, without a further oral examination; or
   
   iii. that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit the thesis/submission within twelve months for re-examination by both examiners and be examined orally; or

c)  
   i. that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or
that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the text/doctoral statement made to the satisfaction of the internal examiner, within a period of one month of receiving formal notification of the corrections to be made; or

iii. that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor revisions being made to the satisfaction of the internal examiner, within a period of up to six months of receiving formal notification of the revisions to be made.

d) that the candidate be permitted to revise and re-submit the thesis/submission for the appropriate Masters Degree within twelve months for re-examination by both examiners and be re-examined orally if the examiners so require by indication in their written report.

e) that no degree be awarded and that the candidate be adjudged to have failed.

**Minor Revisions or Corrections**

30. Recommendations 29 (a) or (c) may be made subject to a requirement that the candidate correct minor textual errors or make minor revisions to the thesis before the deposit of a copy of the thesis in the University Library in accordance with the *Rules for the Submission of Work for Higher Degrees*.

31. Where minor textual corrections are required, candidates will be advised by the relevant graduate school administrator that the corrections must be made within one month of receiving formal notification of the corrections. It shall be the responsibility of the internal examiner to certify that the necessary corrections have been made before a pass list can be issued.

32. Where minor revisions to the thesis are required, the candidate shall normally be required to make the revisions within six months of receiving formal notification of the revisions to be made.

33. It shall be the expectation that the thesis will not require referral back to the external examiner and that the candidate will not be expected to undergo a further oral examination. However, if the internal examiner feels that any recommendation other than recommendations 29 (a)(i), (a)(ii), (c)(i) or (c)(ii) is appropriate following reconsideration of the thesis after the minor revisions have been made, the thesis shall also be referred to the external examiner.

**Resubmission for Re-examination by Internal and External Examiners**

34. In the case of a candidate subject to recommendations 29 (b) or (d) above, the revisions expected of the candidate shall be more substantial than in the case of a recommendation 29 (a) or (c). However, these recommendations shall be made only where the examiners are of the view that the thesis is basically acceptable for the degree concerned and/or that it is reasonable to expect the candidate to be able to attempt to revise and resubmit the thesis successfully in the normal time available and without conducting significant further basic research.

35. At resubmission, candidates must provide a commentary indicating the changes they have made to the thesis in response to the requirements of the examiners.
36. If the extraordinary arrangements under Convention 10 have been applied, the examiners will be required to conduct an oral examination upon resubmission.

37. In exceptional cases, an extension of time for making the corrections may be granted by the appropriate dean of postgraduate studies, subject to the candidate justifying such an extension, supported by the academic supervisor.

**Recommendations after Resubmission for Re-examination by Internal and External Examiners**

38. Where the candidate’s oral performance on the first occasion of examination was satisfactory and the examiners are agreed, after considering the resubmitted thesis, that a further oral examination is not required, they may submit their recommendations without re-examining the candidate orally.

39. Examiners may, on consideration of the revised thesis, require a further oral examination, even if this had not originally been required as part of resubmission.

40. Where a candidate has been permitted to revise and resubmit a thesis in accordance with Conventions 29 (b) or (d), the only options open to the examiners when re-examining the thesis shall be one of the following, as appropriate;

   a)  
      i. that the candidate be admitted immediately to the degree of Doctor of Philosophy; or

      ii. that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections, (e.g. of detail or presentation but not involving changes to the substance of the text/doctoral statement) made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

      iii. that the candidate be admitted to the degree of Doctor of Philosophy subject to minor revisions, (e.g. of a more substantial nature than in ii above, but not involving a major revision of the thesis/doctoral statement) being made to the satisfaction of the internal examiner, within a period of up to six months of receiving formal notification of the revisions to be made.

   or

   b)  
      i. that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or

      ii. that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the text/doctoral statement made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or
c) that no degree be awarded and that the candidate be adjudged to have failed.

Note: Following the resubmission outcome and submission of the revised thesis, no further revisions to the thesis other than minor textual corrections made to the satisfaction of the internal examiner, normally within a period of one month after receiving formal notification may be recommended.

Recommendations Following a Further Oral or Written Examination

41. In the case of a candidate subject to recommendation 29 b(i) and (d) above, the only options open to the examiners when re-examining the thesis shall be one of the following, as appropriate;

42. In all cases where a candidate is required to make corrections/revisions to a thesis or to resubmit a thesis, it shall be the responsibility of the examiners to
provide full details of the corrections, revisions or additional publishable material (for published work submission) required of the thesis, but not extending to proof-reading or editing of the thesis. The examiners should provide a detailed written statement of the nature of the changes they wish to see made to the thesis, along with their completed joint report form. These should be sent to the relevant graduate school administrator who shall formally forward these documents on to the candidate and the supervisory team. When forwarding the final report to the candidate, the graduate school administrator will make it clear to the candidate that resubmission in itself will not guarantee the award of a qualification.

K. Communication of the Result to the Candidate

43. The dean of postgraduate studies acts as the Chair of the Board of Examiners and any recommendations are considered by the dean who will then confirm or otherwise the recommendations of the examiners, following receipt of examiner reports by the graduate school administrator. The results of the examination or re-examination shall be communicated formally to the candidate by the relevant graduate school administrator, once they have been considered by the dean of postgraduate studies. Neither an examiner nor any other person is empowered to communicate the result formally to a candidate before the official notification of the result to the candidate by a graduate school administrator on behalf of the Academic Registrar. In any case where an examiner chooses to give the candidate an informal indication as to the recommendation that will be put forward, the examiner concerned must stress that the recommendation is subject to ratification and that only the graduate school administrator (on behalf of the Academic Registrar) is empowered to issue official results.

L. Disagreement between the Examiners

44. If there is a disagreement between the examiners or doubt about their intentions, they shall be consulted with a view to resolving the matter. Where there is irreconcilable disagreement between the examiners an additional external examiner shall be appointed.

45. The additional external examiner shall be asked to read the candidate’s thesis and to conduct an oral examination. The additional examiner shall be told that the previous examiners had failed to reach agreement but will not have sight of their reports. On the occasion of the second oral examination the supervisory team (and where appropriate the internal examiner) shall be available to be consulted by the additional external examiner. The dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the viva. The academic supervisor shall co-ordinate the arrangements for the oral examination. After the conclusion of the oral examination, the additional examiner shall make a recommendation which shall be final. He/she shall submit a final report which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the supervisory team in the normal way. In the event that changes to the thesis are required it will be the additional external examiner who shall examine the thesis.

46. Where a disagreement between examiners is identified at the examination of a resubmission, the additional external examiner shall be asked to read the candidate’s thesis and to consider the work submitted against the examiners
joint report from the first submission. If an oral examination is required for the resubmission the dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the viva. After the conclusion of the oral examination, the additional examiner shall make a recommendation which shall be final. He/she shall submit a final report which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the supervisory team in the normal way. In the event that minor textual corrections are required, they will need to be made to the satisfaction of the additional external examiner.

47. A candidate who is subject to the procedure set out in Conventions 44 to 46 shall be informed that the examiners originally appointed have disagreed and that an additional examiner will be appointed. The candidate shall not be informed as to the nature of the disagreement between the original examiners and shall not be given a copy of their reports. If, however, the candidate subsequently appeals against the final decision in respect of the award of the degree, the report of the original examiners will form part of the formal record of appeal. The candidate shall be informed that a second oral examination will be required. After the second oral examination, and once a final decision as to the award of the degree has been made in accordance with Conventions 29, 38 and 41, the final report of the additional examiner shall be made available to the candidate and the supervisory team.

M. Provision for an Oral Examination to be Conducted Outside the University

48. It is expected that all oral examinations will take place within the University unless specifically requested otherwise and that all expected attendees are present at the University. With the approval of the dean of postgraduate studies, the oral examination for a candidate may be held elsewhere than at Newcastle. Both examiners should be present at any oral examination and only in very exceptional circumstances may the dean of postgraduate studies permit other arrangements to be made. (Further guidance is available in the University Handbook for Examiners of Research Degrees.) A member of the supervisory team is not normally expected to be present unless at the specific request of the candidate to attend the venue for an examination held outside Newcastle, but is expected to be available to be contacted by the examiners if required, for example by telephone. In all cases written consent for the examination to be conducted outside the university must be obtained from the candidate.

N. Posthumous Awards

49. A posthumous degree can be awarded where a deceased candidate’s body of work is sufficient to meet the criteria for the award. To initiate a request for a posthumous award, the academic supervisor should provide a statement to the relevant dean of postgraduate studies outlining why the deceased candidate should be considered for the posthumous degree. Requests should be endorsed by the head of school (or nominee) in which the candidate was registered and should normally have the support of the student’s family. (The Policy on Posthumous Awards for Postgraduate Research Students provides additional detail

http://www.ncl.ac.uk/students/progress/assets/documents/PolicyonPosthumousDegreesforPostgraduateResearchStudentsAugust2015Final.pdf)
Postgraduate Student Travel and Outside Study Policy

This Policy outlines the University's requirements when Postgraduate students (on Taught and Research programmes) are participating in travel and outside study (off-campus and abroad) and also makes reference to relevant insurance implications and guidelines for students and their tutors / supervisors / advisers.

It should be noted that the policy is of particular relevance to students registered at the Newcastle campus. Nevertheless, the general principles in this policy apply to all students, regardless of their location, course or mode of study. Staff and students should note that there may be particular provisions or different Insurance arrangements at our Newcastle University London or overseas campuses (NuMEd, NUIS etc.) and for students studying at a distance or through e-learning. Students based at the University’s London or overseas campus locations should contact the Insurance Office when they are considering travel and outside study, so that their individual situation can be considered. Contact details for the Insurance Office are; ext. 86520 or email insurance@ncl.ac.uk

The details of the Policy refer in the main to University activity and associated travel outside the UK territorial limits.
The University encourages student engagement with diverse opportunities available as part of their programme of study, which can include, for example, primary research or field-work, off-campus / outside placements in various national or international locations. ‘University business’ is defined as an activity which is a formal part of the programme of study or research, or any other academic activity which has been approved as part of the programme of study, training or research. For clarity ‘Off-campus’ is defined as a location away from the student’s registered Campus, which includes all University buildings/farms/laboratories etc.
As a consequence the University’s Travel Abroad Policy, Insurance and current risk management authorisation protocols should be applied in every case. The full policy is available at:
http://www.ncl.ac.uk/students/progress/assets/documents/PGStudent-Travel-Outside-Study-PolicyJuly15.pdf

Academic Appeals & Query Procedure for Students

A student who wishes to challenge the decision of the Examiners of their thesis/viva or the Annual Progress Review Panel must make a case on one of the following grounds:
(i) You were adversely affected by illness or other relevant factors, of which you were previously unaware, or which for a good cause you were unable to disclose to the Examiners in advance.

(ii) Procedural irregularity on the part of the examiners.

(iii) Bias or prejudice on the part of an examiner or examiners.

*Or for Unsatisfactory Progress only*

(iv) That the decision reached was perverse in that it was one which no reasonable person could have reached on the available evidence.

Challenges to the academic judgement of the examiners on an assessment outcome or the level of award recommended cannot form the basis of an appeal. The full Academic Appeals Procedure is available at; [http://www.ncl.ac.uk/students/progress/Regulations/SPS/appeals.htm](http://www.ncl.ac.uk/students/progress/Regulations/SPS/appeals.htm)

Given the existence of procedures for complaint and redress during the study period, alleged inadequacy of teaching or supervision shall not constitute grounds for an appeal. Separate policies and relevant information are contained in the following documents:

- **Student Complaints and Resolution Procedure**
  [www.ncl.ac.uk/students/progress/Regulations/SPS/complaints.htm](http://www.ncl.ac.uk/students/progress/Regulations/SPS/complaints.htm)
- **Dignity and Respect Procedure**
  [www.ncl.ac.uk/students/progress/Regulations/SPS/dignity.htm](http://www.ncl.ac.uk/students/progress/Regulations/SPS/dignity.htm)
- **Guidelines for Research Students**
  [www.ncl.ac.uk/students/progress/student-resources/PGR/](http://www.ncl.ac.uk/students/progress/student-resources/PGR/)
- **Student Guide**
  [www.ncl.ac.uk/students/progress/assets/documents/StudentGuide.pdf](http://www.ncl.ac.uk/students/progress/assets/documents/StudentGuide.pdf)
- **Public Interest Disclosure 'Whistleblowing’ Policy**
  [https://my.ncl.ac.uk/staff/assets/documents/PolicyonPublicInterest Disclosure.pdf](https://my.ncl.ac.uk/staff/assets/documents/PolicyonPublicInterestDisclosure.pdf)

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**Procedure for Assessment Irregularities**

The University's Standards of Academic Conduct (see Part 4 of this handbook) must be maintained. Students who are suspected of being in breach of these standards will be subject to the University's Procedure for Assessment Irregularities and may also be subject to disciplinary action in accordance with the University's Disciplinary Procedures.

For the purposes of the Procedure for Assessment Irregularities, an assessment irregularity involves the use of improper means by a candidate in the assessment process. This includes, but is not limited to:

- Copying from or conferring with other candidates or using unauthorised material or equipment in an examination room;
- Impersonating or allowing another to impersonate a candidate;
- Introducing examination scripts into the examination process otherwise
than in the course of an examination;

- Permitting another student to copy work;
- The falsification (by inclusion or suppression) of research results;
- Plagiarism. This is defined as the unacknowledged use of another person’s ideas, words or works either verbatim or in substance without specific acknowledgement. For the avoidance of doubt, plagiarism may occur in an examination script as well as in assessed coursework, projects, reports and like work and may involve the use of material downloaded from electronic sources such as the internet. Further, the inclusion of a source in a bibliography is not of itself a sufficient attribution of another’s work.
- Auto (self) Plagiarism. This applies when work (or similar) has already been submitted for an assessment at Newcastle or elsewhere. This may be considered to be an attempt to gain double credit for the same piece of work and is unfair and dishonest. This should not apply to draft copies of research work; if you are unsure, please speak to a member of staff for clarity before submitting your work.

Note that for research students, responsibility for initial investigation lies with the Dean of Postgraduate Studies, who acts as the Chair of the Board of Examiners for Research Degree students.

The full Procedure for Assessment Irregularities is available at [http://www.ncl.ac.uk/students/progress/Regulations/SPS/assessment.htm](http://www.ncl.ac.uk/students/progress/Regulations/SPS/assessment.htm)

Dignity and Respect Procedure

1  Introduction

The University is unequivocally committed to the goal of fostering mutual respect and understanding between individuals and within its constituent communities and to promoting equality of opportunity among employees and students alike. The University aims to promote a working and learning environment and culture in which differences are tolerated, harassment and bullying are known to be unacceptable and where individuals have the confidence to deal with harassment and bullying without fear of victimisation. This procedure aims to ensure that if harassment or bullying does occur employees, students or visitors have support and adequate procedures to deal with the problem.

The University undertakes to:

- Treat incidents of harassment or bullying as serious;
- Publicise the procedure as widely as possible in order to ensure that all employees and students are aware of its existence;
- Include information in employee induction and appropriate staff development sessions (e.g. awareness training);
- Monitor the number of cases arising and the effectiveness of the procedure.
Harassment and bullying can have a detrimental effect upon health, confidence, morale and performance of those affected by it, and on the working and learning environment. The University undertakes to ensure a prompt response to all complaints and to treat them with due respect, appropriate confidentiality and fairness.

Informal resolution can often be the quickest and most effective way to deal with bullying/harassment. The University wishes to encourage a degree of flexibility appropriate to the individual circumstances to allow for informal resolution. However, when a formal complaint is made, every effort will be made to ensure it is dealt with expeditiously and within prescribed timescales.

**Definition of Bullying and Harassment**

The Equality Act 2010 defines harassment as

- “unwanted conduct that has the purpose or effect of creating an intimidating, hostile, degrading, humiliating or offensive environment for the complainant, or violating the complainant’s dignity”;
- Unwanted conduct of a sexual nature (sexual harassment);
- Treating a person less favourably than another person because they have either submitted to, or did not submit to, sexual harassment or harassment related to sex or gender reassignment.”

Harassment may be related to age, disability, gender reassignment status, marital or civil partnership status, pregnancy or maternity status, race (including ethnic origin, nationality and colour), religion or belief, sexual orientation, gender, political belief, trade union membership, or any personal characteristic of the individual. It may be persistent or an isolated incident.

The key is that the actions or comments are viewed as demeaning and unacceptable to the recipient and that it is reasonable for the recipient to feel this way, or perceive the actions in this way.

**Rights and Responsibilities**

**All Employees and Students**

Everyone has a responsibility to comply with this procedure and all staff and students should ensure that their behaviour towards colleagues does not cause offence and could not be considered harassment or bullying.

Differences in culture, attitudes and experience, or the misinterpretation of social signals, can mean that what is perceived by the person experiencing the behaviour as harassment and/or bullying, may be perceived by others as normal. It is important to be sensitive to the feelings and reactions of others. Consider the appropriateness of your behaviour and the affect it has on others and be prepared to adjust it if necessary.

**Line Managers and Supervisors**

Those responsible for the management of employees or the supervision of students should:

- Set a good example by treating employees and students with dignity and respect.
Understand the Procedure and make every effort to ensure that harassment and bullying do not occur, particularly in work or study areas for which they are responsible.

Respond sensitively and supportively to any employee or student who makes an allegation of harassment or bullying; provide clear advice on the procedure to be adopted; maintain confidentiality in accordance with this Procedure; monitor the work and study environment to ensure that there are no problems of harassment or bullying, or of victimisation after a complaint has been made.

Be alert to unacceptable behaviour and take appropriate action; do not wait until complaints are brought to your attention if you are aware of behaviour of other managers, employees or students which might cause offence. If the incident is not serious then calling the individual aside and providing some advice may be sufficient to stop the behaviour.

Ensure that employees and students know how to raise problems, are aware of the Procedure and sources of help and support.

The full Policy on Dignity at Work and Study, with the procedure to follow for making and dealing with complaints of harassment and bullying, is available at http://www.ncl.ac.uk/hr/assets/documents/dignity_and_respect_procedure_mar_2016-et.pdf

Students who wish to make a formal complaint under this Policy, should follow the Student Complaints and Resolution procedure. www.ncl.ac.uk/students/progress/Regulations/SPS/complaints.htm

**Equality & Diversity**

**Equality Strategy**

1. **Purpose**
The Equality Strategy is our public declaration of our commitment to develop a fully inclusive University community which recruits and retains talented staff and students from all sectors of society equally. It also sets out how we, at Newcastle University, plan to meet the duties placed on us by equality and diversity legislation and to follow best practice in all that we do: including employing our staff, providing teaching and learning to our students and being engaged with local communities.

2. **Context**
Our **Vision** is of Newcastle as a Civic University with a global reputation for academic excellence. **Our Mission** is: to be a world-class research-intensive university; to deliver teaching and facilitate learning of the highest quality and to play a leading role in the economic, social and cultural development of the North East of England. There are certain fundamental **values** shared...
throughout the higher education sector to which we are committed, including: academic freedom; the pursuit of knowledge and understanding; a sound academic disciplinary base; a methodology based on reason and evidence; social responsibility; and transparency. In addition, we are committed to excellence; value diversity; respond to societal challenges; accord parity of esteem to research and teaching; educate for life; are globally ambitious and regionally rooted and invest in excellent staff.

Arising from the three elements of the mission statement, we have three core academic functions: research and innovation; learning, teaching and the wider student experience; and engagement and internationalisation. As a university, our institutional objectives are: to achieve: top 20 in the UK for research; top 20 in the UK for student satisfaction; a focus on three societal challenge themes (ageing, social renewal and sustainability); a significant international, national and regional profile and reputation; and financial and environmental sustainability.

3. Commitment to Equality and Diversity

Our Equality and Diversity commitment is to develop a fully inclusive University community which recruits and retains staff and students from all sectors of society. We will nurture them, ensuring that they can be developed within a positive and supportive culture that encourages everyone to flourish and reach their potential. We will build strong positive relationships between staff, students and external stakeholders (including contractors and visitors) and promote a common vision where diversity is valued by all. Everyone must be treated with dignity and respect. We can identify how Equality and Diversity are relevant to and will assist us to achieve our core academic objectives.

4. Responsibility for the Strategy and Actions

All staff in the course of their employment and all students in the course of their studies and others associated with the University, without exception, have a responsibility to ensure that their actions comply with the requirements of the http://www.ncl.ac.uk/diversity/ and promote good relations between people of different groups. Taking into account the legal and cultural environments of other countries, the principles of the strategy will also apply to educational partnerships, including branch campuses of the University, unless by doing so any member of staff might commit a criminal offence in that country. University Council is responsible for ensuring that the University acts within the requirements of the UK legislation and meets all its general and specific public duties. It is also responsible for ensuring that the commitments and behaviours required in the Equality Strategy are followed.

The Vice Chancellor has ultimate executive responsibility for the effective development and implementation of Equal Opportunities Policies and ensuring that effective procedures are in place.

The Diversity Committee has responsibility for the formulation of Equality Policies and procedures and for overseeing their implementation. The Committee reports to the Executive Board of the University which has the authority to make decisions or to recommend the policies for approval by Council. This includes specifically advising on the development and
implementation of the Equality Strategy and the University's Equality and Diversity objectives.

The Director of Human Resources and the Academic Registrar have responsibility for the implementation and monitoring of the Strategy as it pertains to staff and students respectively; ensuring that appropriate staff training and development is carried out.

All Managers (including Pro-Vice Chancellors, Heads of Unit, Heads of Service and all other line managers) are responsible for ensuring that the Strategy is implemented and maintained within their own Units/Services; ensuring all staff are fully informed about their responsibilities and receive support and training in carrying them out; taking appropriate action against staff or students who discriminate for unlawful reasons; this may include invoking appropriate University disciplinary or grievance procedures, and initiating procedures for dealing with complaints and ensuring that the Strategy and its procedures are followed within their areas of responsibility.

Further information on Equality and Diversity at Newcastle University can be found at: http://www.ncl.ac.uk/diversity/

Students who wish to make a formal complaint under this Policy, should follow the Student Complaints and Resolution procedure.

Policy and Procedure on Public Interest Disclosure

1 Introduction

1.1 The University is committed to the highest standards of openness, probity and accountability. It seeks to conduct its affairs in a responsible manner taking into account the requirements of the funding bodies, the standards in public life set out in the reports of the Nolan Committee, and the principles of academic freedom embodied in its Statutes.

1.2 The Public Interest Disclosure Act, which came into effect on 1 January 1999, gives legal protection to workers against being dismissed or penalized by their employers as a result of disclosing in the public interest certain serious concerns. It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. However, an individual within the organization should have the right to disclose certain matters of public interest without fear of reprisal. The Enterprise and Regulatory Reform Act 2013 confirmed that the legal framework that gives protection to workers who raise public interest disclosures is intended to apply only to disclosures that are made in the broader public interest, as opposed to issues in which an individual may have a personal interest.
1.3 This policy and procedure is intended to guide and assist workers and students who wish to make a disclosure, in the public interest, about what they believe to be malpractice or impropriety in order to assist the University in the maintenance of appropriate standards of propriety and good practice. Workers and students are expected to use this policy and procedure in the first instance rather than report their concerns to a third party outside the Institution. Whilst the law recognises that in some circumstances it may be appropriate for workers to report their concerns to an external body such as a regulator, the University strongly encourages workers and students to seek advice from an appropriate manager or Students’ Union Officer before reporting a concern to anyone external.

2 Scope of Policy

2.1 This policy and procedure provides for workers and students registered at Newcastle for a period of study who wish to make a disclosure of information which they reasonably believe to be in the public interest and constitute malpractice or impropriety to bring their concerns to the attention of the appropriate University officer.

2.2 Instances of malpractice or impropriety might include:

- That a criminal offence has been committed, is benign committed or is likely to be committed
- That financial malpractice is being committed or is likely to be committed
- That impropriety or fraud has been committed, is being committed or is likely to be committed
- That a person has failed, is failing or is likely to fail to comply with any legal obligation to which he or she is subject
- That the health or safety of any individual has been, is being or is likely to be endangered
- That the environment has been, is being or is likely to be damaged
- academic or professional malpractice or
- that information tending to show any matter falling within any of the above paragraphs has been, is being or is likely to be deliberately concealed

2.3 The University already has in place a number of policies and procedures for addressing matters that relate to individual employees or employment-related complaints or student complaints, such as grievance, complaints, discipline and harassment. This policy and procedure should not be used where a matter of concern should more appropriately be addressed through other approved University procedures. However, investigation of matters raised under this policy and procedure may subsequently lead to the invocation of other University procedures (see sections 4 and 6 below).

This policy and procedure will be the subject of periodic review and, if necessary, revision in light of experience and in consequence of any further advice which may be issued in the higher education sector.

The full policy is available at: https://my.ncl.ac.uk/staff/assets/documents/PolicyandProcedureonPublicInterestDisclosure.pdf
Student Disciplinary Procedures

1(a) Introduction

These procedures seek to ensure that student disciplinary matters are dealt with fairly and promptly at the appropriate level by those with clear authority from the University. The procedures apply to persons who are subject to the discipline of the University as prescribed in the General Regulations.

The purpose of the procedures is to regulate student behaviour in order to secure the proper working of the University in the broadest sense. As serious consequences may follow a finding of misconduct, it is necessary in every case for it to be shown that the conduct in question falls within the general definition before it may be characterised as misconduct.

(b) Definition of Misconduct

A breach of discipline is, for the purpose of these procedures, called an "act of misconduct", and this will include, but not be limited to, failure to observe all University rules and regulations including local regulations for the governance of Academic Schools, Academic Service Departments and University Residences. The essence of misconduct under this code is improper conduct or improper interference, in the broadest sense, with the proper functioning or activities of the University, or those who work or study in the University. It also includes conduct which otherwise damages the University.

(c) Scope

These procedures apply to all registered students in all locations on and off campus both in the UK and overseas (when it is found that there is some link to the University or its reputation).

Discipline of students within the Students’ Union building shall be the responsibility of officials of the Students’ Union nominated by the Students’ Union. The Students’ Union has an agreement with the University which identifies matters which it will report as a matter of course to the University and matters which it will report to the Police. The agreement is subject to annual review. Examination and other assessment irregularities are normally dealt with in accordance with the University "Procedure for Assessment Irregularities".

(d) Fitness for Professional Practise

As part of the function of the University, graduation from certain courses entitles a graduate to practise in a profession or to obtain professional status. In some cases where professional fitness to practise issues arise (e.g. medicine, dentistry, education), the University may also invoke relevant procedures. In such cases, the disciplinary case file may be shared with other University Officers responsible for such procedures.

The full Student Disciplinary Procedure is available at
http://www.ncl.ac.uk/students/progress/Regulations/SPS/disciplinary.htm
Fitness to Study Procedure

Introduction
This policy is intended to apply in rare cases where conduct creates serious concerns about the student’s welfare such that normal adjustments are not sufficient. Many students encounter difficulties and other procedures such as the Personal Extenuating Circumstances (PEC) Procedure should normally be considered before invoking the Fitness to Study procedure.

Scope of Procedure
1.1 Newcastle University recognises that at various stages during the course of study a student may encounter physical or psychological difficulties. This may result in:
- concerns about the student’s fitness to study successfully, and / or
- concerns about a student’s fitness to engage with other aspects of University life, and/or
- conduct which may be regarded as a risk to the student or others.
In these circumstances the University seeks to support students to the completion of their studies where possible.

1.2 This procedure is not an alternative to disciplinary action, or other relevant University procedures such as Fitness to Practise or Unsatisfactory Progress. The University reserves the right to refer to other procedures where appropriate.

1.3 A student’s fitness to study may be considered despite the fact that other University processes have been invoked. Examples include:
- Failure to make satisfactory progress in academic studies (dealt with under the appropriate Progress Regulations [www.ncl.ac.uk/regulations/docs/])
- Misconduct as normally defined in the University (dealt with under the Student Disciplinary Procedure [www.ncl.ac.uk/students/progress/Regulations/SPS/disciplinary.htm])
- Fitness to Practise: [www.ncl.ac.uk/students/progress/Regulations/SPS/fitness.htm]
For MBBS and BDS students, the Fitness to Practise procedure would normally be invoked instead of the Fitness to Study procedure but staff have the discretion to choose.

The University may refer between procedures but will not normally consider parallel procedures about the same substantive matter. Advice on which procedure should take precedence can be sought from the Head of the Student Progress Service or the Head of the Student Wellbeing Service.

1.4 The procedure is intended for use when there is serious concern about the student’s ability to study successfully, and may relate to the presence of a diagnosed illness or disability. This procedure may also be used when there is no diagnosed illness or disability, or no notification of such a diagnosis.
decision about whether to use this procedure or an alternative procedure is at
the discretion of the Degree Programme Director or nominee in Academic Units
and senior member of staff for other areas responding to the concerns about
the student’s conduct. If the student has been given permission for an
interruption in studies (leave of absence), the fitness to study procedure should
not be considered until the student returns to study.

1.5 The University has a duty of care to its students, which it takes very
seriously. The University must ensure that any decisions have due regard to the
best interests of the student, as part of its wellbeing strategy. This includes
being sure, as far as possible, that a student is fit to study. This also entails a
requirement to consider the impact that the student may have on other students
and staff. An additional factor is the consideration of any reasonable
adjustments being put into place to enable the student to continue to study.

1.6 The Fitness to Study Procedure consists of three levels (see section 3).
However, depending on the individual circumstances this procedure may be
invoked at any of the three levels.

1.7 If a concern regarding fitness to study arises whilst the student is on
placement, the University may discuss and consider alternative arrangements
with the placement provider. If it is not possible for alternative arrangements to
be made, the student’s placement may be withdrawn and deferral or other
adjustments considered.

The full Fitness to Study Procedure is available at:
http://www.ncl.ac.uk/students/progress/Regulations/SPS/f2s.htm

Student Complaints and Resolution Procedure

Introduction

1. The Complaints Procedure described below should be followed in cases
where a student wishes to make a complaint about a service or member(s) of
staff or another student within the University where it has not been possible to
resolve the problem with the service or individual(s) concerned.

2. The University provides a clear three-stage procedure for students to
complain about the level of service or treatment which may have fallen short of
what might reasonably be expected. At Level 1 (informal stage for resolution),
complainants are expected to make every effort to resolve informally a problem
with the individual(s) concerned or to seek help/advice in writing from the
complainant’s tutor/supervisor/Head of School, or appropriate Head of Service.

3. Only when the steps taken under Level 1 of the procedure have failed, or
when the complainant considers that their complaint has not been resolved may
Level 2 of the procedure be invoked by submission of the Complaints Form,
-together with full details of the complaint and any supporting evidence.

4. Level 3 is the formal review of the Level 2 outcome, where the complainant
requests a review of the outcome of their complaint at the Level 2 stage.

5. The University has complementary policies about expectations in respect of
dignity and Respect, equality and diversity (See www.ncl.ac.uk/hr/policy/). Students wishing to make a complaint about actions which are contrary to these policies shall do so by completing the student complaint form/procedure. They should also make it clear that their grievance relates to one of these specific policies.

Appeals resulting from Student Disciplinary Procedures are dealt with under separate arrangements.

There are also separate procedures for dealing with complaints relating to tenants, staff or service in University accommodation. The procedures are contained in the relevant information booklets supplied by the respective student residences.

6. The Complaints and Resolution Procedure shall not apply to cases in which an individual wishes to appeal against an academic decision; in such instances the applicant should follow the Academic Appeals Procedure for Students. In order to avoid duplication of effort, the Academic Registrar shall determine whether a complaint shall proceed if an appeal has also been made in connection with the same/similar matter as the complaint.

Students shall not be disadvantaged for lodging a complaint in good faith.

Further Information
Further advice and guidance can be obtained from the Student Progress Service, Student and Academic Services, King’s Gate or from the Student Advice Centre in the Union Society.

The full procedure and form is available at: http://www.ncl.ac.uk/students/progress/Regulations/SPS/complaints.htm

Policy for Intellectual Property and Research Studentships

Introduction
The University has become concerned that heads of School and supervisors may not be fully aware of the pitfalls that can accompany our attempts to protect and commercialize Intellectual Property (IP) arising from work carried out during an MPhil or PhD programme, or during an undergraduate research project or during a working visit by a member of staff from another institution. Where supervisors believe that a project involving a student or an academic visitor is likely to generate potentially commercialisable IP, they should note carefully the position outlined below.

Intellectual Property generated by members of staff in the University is automatically vested in the University, provided that it relates to work that the member of staff would normally be expected to carry out as part of their day-to-day activities. However, undergraduate and research postgraduate students and academic visitors are not members of staff, and there may be considerable
variation in the nature and source of their funding. This is a complex situation. This note explains the IPR position of different types of studentships. It details where positive action is taken by University Research Office (URO) to protect IP and identifies where schools need themselves to take specific action.

Where a student or a visitor is joining a large research effort with considerable and possibly highly commercialisable IP, supervisors must ensure that the IP position is reviewed immediately with the student, that the student is aware of the position with regard to IP, that he or she understands the problems that will arise for the University should the IP associated with a project be disclosed prematurely, and that the IP generated in the course of the grant is properly vested in the University in exchange for an undertaking to treat the student as if he or she were a member of academic staff with regard to intellectual property. A corollary of this is that where the student has clearly been responsible for ‘inventive’ steps in the prosecution of his or her research, and that research has led to a patent being filed by the University, the student’s name shall appear on the patent.

Policy Statement on Confidentiality and Intellectual Property (including Inventions) and Results for Research Students, is available at: http://www.ncl.ac.uk/res/assets/documents/PGRPolicyv10111114FINALClean.pdf

Case Students and Commercially Funded Studentships

For students on CASE awards, or awards that are funded in whole or part by Industry, URO will issue a standard letter to the student, a copy of which can be seen on the Web. In this letter it is made clear that the IP generated by the student during his or her research will be owned by the University and that in this regard the student will be treated as if the student were a member of the academic staff. URO will normally negotiate the ownership and exploitation conditions of any IP arising from the work with the company before the research project begins. It is very much in the interests of supervisors to ensure that such an agreement is in place; failure to do so may have very serious consequences at a later date.

Studentships Supported from Charitable Foundations

For students on charitable foundation grants, the situation is more variable: with some charities, such as the Cancer Research Campaign, the University has a framework agreement; many other charities impose conditions on IP and its exploitation as part of their standard conditions of grant, and supervisors are strongly advised to consult URO to establish the situation in each case. Where such agreements exist, or where conditions attached to the grant vest the IP with the charity or with a third party acting on behalf of the charity, the supervisor should liaise with URO to ensure that the student receives and signs an appropriate assignment letter. Where no agreement is in place, and/or the charity makes no disposition of IP arising from its grants, the difficulties are similar to those described in the next section.

Research Council Funded and Quota Studentships

For students funded by the Research Councils alone, the precise situation will depend on the nature of the award. Many awards are made as 'earmarked' studentships i.e. the studentship is part of a larger grant; the conditions of such grants normally vest the exploitation of the IP generated with the University, and supervisors should seek the advice of URO over the assignment of the student's
IP to the University, using a standard letter available on the website. Students on this type of grant will for the purposes of intellectual property be treated as if they were members of staff. For students funded by normal Research Council Quota studentships, the responsibility for exploitation of any IP arising from the studentship is vested with the University, but IP arising during the studentship remains, in principle, the property of the student unless explicit steps are taken. It is of the highest importance that supervisors and heads of school recognize this fact.

**Self-funded Students**

A more complex situation arises where students are self-funded. Under these circumstances, students are free agents, and no assumption can be made that IP generated during the course of the research project will vest solely with the University. Where the creative step can clearly be traced to the supervisor, and documentary proof of this can be produced, then there is no problem, but real-life situations are usually far from being so clear-cut, with both the supervisor and the student likely to claim some of the credit. The University does not believe that it would be feasible to introduce a general condition into the PhD regulations automatically vesting IP derived from a PhD or MPhil project with the University; such a clause, affecting those who are essentially ‘self-employed’ would be unlikely to survive scrutiny by the courts. On the other hand, ownership of only some of the IP is also of little intrinsic value to the student. We believe, therefore, that the most effective way forward would be for the supervisor to agree with the student, in writing, before the research starts that any IP arising from the work carried out, and any which is additional to that provided before the start, should be assigned to the University, with the student being assured by the University that his or her interests will be taken fully into account. A draft letter for this purpose can be found on the website. All background IP of relevance should be properly documented, so that the starting position is clear, and the student invited to agree that any IP arising from his/her work would be added as appropriate to that background IP. A signed statement to this effect should be obtained.

**Students Funded Directly by Third Parties**

A student funded directly by a third party, such as an overseas government or agency, may claim that no agreement over IP is possible without consultation with his/her sponsor(s), and an opportunity should be given for such an agreement to be obtained. However, where such an agreement proves impossible to obtain, supervisors should consider carefully the nature of the project, recognising that it may not be possible under these circumstances for the University to obtain protection for any IP generated.

**Practicalities**

Schools should use the standard letter which can be accessed from the URO website. Two copies of each letter should be signed by the supervisor and the student. The student should be given one copy and the other signed original must be deposited with URO, since any legal steps needed will have to be undertaken by URO.

Further general guidance about Intellectual Property is available in University Research Office:

http://www.ncl.ac.uk/res/resources/Polices%20Forms%20and%20Guidance/Policies.htm
### Summary Table for Action on IPR of Students and Visiting Researchers

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Policy on Postgraduates Who Teach

Introduction

This policy covers teaching and learning practices for postgraduates teaching or demonstrating on modules. Appointment practices, employment terms and conditions are covered in more detail by separate Human Resources policies. This policy does not cover arrangements for hourly paid bought in teaching.
The University recognises the value to postgraduates of the teaching experience it provides, and is committed to providing such opportunities consistent with its desire to deliver teaching of the highest quality on its programmes.

Postgraduates may support teaching by:

- Taking small groups such as seminars, tutorials or workshops
- Helping with fieldwork
- Demonstrating in laboratories
- Providing occasional lectures on their own specialism
- Assessment under the conditions indicated in this document.

General

1. Payment for teaching and demonstrating is determined by Human Resources annually and the demand for such teaching is governed by the needs of the teaching needs of the School responsible for the programme.

2. All recruitment of postgraduate students to teaching and demonstrating posts will be fair and transparent, and made on the basis of their academic ability or relevant experience, regardless of age, religion or belief, ethnicity, gender, marital or family status, sexual orientation or disability.

3. Only registered postgraduate students are eligible for teaching and demonstrating duties.

4. Any student engaging in teaching and demonstrating must have already obtained a qualification at the level they are teaching.

5. Postgraduates who teach must possess a good standard of English, equivalent to a minimum of IELTS 6.5, and where required by the School a higher level.

6. All postgraduates who teach must satisfactorily complete formal training before they begin to teach. Training will be available for all postgraduates who teach from the Staff Development Unit.

7. Postgraduates cannot teach on any module that contributes to the programme they are currently registered on. (This does not prevent postgraduates passing on their experiences on the programme to their peers where this does not contribute to the assessment.)

8. Schools must not make excessive demands on the student’s time. Tutors and supervisors must be consulted about the time devoted to such duties and teaching hours must be consistent with the requirements of the student’s work, the terms of their studentship and any visa arrangements. Any disagreements should be resolved by the Head of School or nominee.

9. Postgraduates who teach can first or second mark assignments provided they have received guidance in this area, have clear marking criteria, and moderation processes are in place.

10. Schools remain ultimately responsible for the quality of teaching on their programmes and module Leaders for the quality of the teaching of postgraduates on their module, including module assessment where postgraduates are involved in this activity.
Training and Support

All postgraduate teachers should normally successfully complete the Introduction to Learning and Teaching in Higher Education (ILTHE) before they teach. Though not mandatory, on completion of this introduction participants can also apply to undertake Module 1 of the Higher Education Academy accredited Certificate in Advanced Studies in Academic Practice (CASAP), Learning, Teaching and Engaging Students (LTES) which leads to Associate status (Descriptor 1) of the Higher Education Academy. It is necessary to have teaching experience before signing up to this module.

If specialist postgraduate training, not provided by the ILTHE, is required an alternative can be proposed by the relevant Faculty Dean of Postgraduate Studies and approved by the Chair of ULTSEC, provided that this training is at least equivalent to that provided by ILTHE, although it may be more focused, and is reviewed as part of the Faculty’s normal quality assurance procedures.

Postgraduate Deans are responsible for granting and keeping a record of individual exemptions for postgraduates from University training, based on the criteria below. Exemption from attending the programme will normally apply if:

- A postgraduate already has a teaching qualification comparable with the relevant elements of the ILTHE (e.g. PGCE).
- The HoS, or their nominee, recommends exemption for some other reason such as: a postgraduate has 3 years teaching experience at this level or equivalent professional experience; at least 1 year's prior teaching or professional experience at this level combined with evidence of learning (e.g. professional development activities such as workshops and seminars teaching).

Responsibilities of the Postgraduate Teacher or Demonstrator

1. Postgraduates who teach should attend and participate in all training and briefings provided by the University and School.
2. Postgraduates who teach should participate in the student feedback mechanisms that the School employs to monitor teaching.
3. Postgraduates who teach should attend appropriate Boards of Studies, Staff Meetings and other meetings as specified by the School e.g. teaching away days relevant to their teaching.
4. Postgraduates are responsible for consulting with tutors or supervisors concerning their teaching and ensuring that it is consistent with the requirements of their project and studentship.

Responsibilities of the School

1. Postgraduates who teach should be provided with School resources, course materials and support, adequate to fulfil their teaching /demonstration responsibilities.
2. Postgraduates should be told how much time they are expected to spend on their duties and the hours for remuneration.
3. It is the responsibility of the module leader to provide support and guidance to postgraduates undertaking teaching.
4. The School should organise appropriate induction and briefing sessions for postgraduates who teach.
5. The School is responsible for ensuring that postgraduate teachers participate in the training necessary to carry out their teaching.

6. It is the School’s responsibility to ensure that postgraduates are aware of any relevant health and safety procedures.

7. There should be clear and regular procedures for review and evaluation of postgraduates’ performance, using peer observation and standard student feedback procedures. Schools should take appropriate action if the feedback is negative.

8. Postgraduates who teach should be provided with an opportunity to give feedback on both their teaching and the support available for teaching to the School, and procedures for raising any issues should be made clear to them.

**Withdrawing from the University**

Occasionally students decide for a variety of reasons that they wish to withdraw from the University. If at any stage you begin to have doubts about continuing with your studies, you are advised to discuss the matter with your supervisor as soon as possible as it may be the case that something you perceive as a problem can be overcome. If you do decide to withdraw, you should inform your sponsor, your supervisor and the relevant graduate school administrator. If you are liable for tuition fees or for any or all of the tuition fee contribution, you should contact the Finance Office to find out how much you owe to the University or whether any refund is due to you. Even if you withdraw before the first instalment of a tuition fee contribution is due, you may still be liable to pay a certain amount to the University (see also Payment of Tuition Fees in Part Two of this Handbook).

If you are in University managed accommodation, you must also notify the Accommodation Office of your withdrawal. You will remain responsible for the rent charges for the full termly billing period. You will only be released from this if the room is re-let to another student who is not already committed to University accommodation.