PART FOUR - 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 and PGR students are encouraged to be familiar with their existence. These are subject to annual review and the complete versions are always available from the University’s website, but key points of relevant policies and/or procedures are highlighted below.

Postgraduate Research Regulations
The University has Postgraduate Research regulations covering both the candidature and the examination of your programme, which are reviewed on an annual basis. You should ensure that you familiarize yourself with these regulations as they provide the overarching rules for your studies and examination at Newcastle University. The regulations should be read in conjunction with the Code of Practice for Research Degree Programmes (Section Two of this handbook). If your programme contains taught elements, you should also familiarise yourself with any programme specific regulations.

If you have any queries regarding the regulations, you should contact your supervisor(s), or the relevant Graduate School Administrator. The regulations are available at: http://www.ncl.ac.uk/regulations/docs/

Student Procedures
Student policies and procedures, which are applicable to all students are available at: http://www.ncl.ac.uk/students/progress/Regulations/

In particular, you should be aware of:

- Student Charter
- Academic Query and Appeals Procedure
- Student Complaint and Resolution Procedure
- Living in the Community
- Maternity Policy
- Standards of Personal Conduct (including Fitness to Study Procedure and Student Disciplinary Procedure)

University Handbook for Examiners of Research Degrees by Theses
The University is responsible for the quality and standards of postgraduate research awards made in its name. The function of examiners is to assist the University to discharge that responsibility by ensuring that the standards of postgraduate research awards at Newcastle are at least comparable to those in similar subjects in other Universities in the UK. The University expects that examiners will be rigorous and fair and that they will follow good practice. By undertaking their duties in this way, examiners not only maintain standards at Newcastle but, of course, also act as effective gatekeepers for the research community of
which they are a part by ensuring candidates meet the academic criteria for membership. The Handbook covers Doctoral and Master of Philosophy research degrees and focuses on the examination of the thesis. Additional guidance is also provided in the appendices at the end of the Handbook for the examination of Integrated PhD programmes, Professional and Practice-based Doctorates.

The Handbook for Examiners of Research Degrees by Theses is available at: https://www.ncl.ac.uk/students/progress/student-resources/PGR/Publications.htm

Further information on the Research Degree Examination procedure and forms is available at: https://www.ncl.ac.uk/students/progress/student-resources/PGR/keyactivities/Examination.htm

**Standards of Academic Conduct**

The University requires all students to maintain high standards of academic conduct and, in particular, to avoid conduct amounting to cheating in examinations, the fabrication of research results or plagiarism.

Cheating in examinations includes: copying from or conferring with other candidates; the possession or use of unauthorized material or equipment; and the impersonation of an examination candidate. Candidates who knowingly permit themselves to be impersonated, or their work to be copied, will be regarded as cheating. Any student suspected of having cheated in examinations will be dealt with under the University's Assessment Irregularities Procedure and may also be subject to disciplinary action as determined by the Academic Registrar in accordance with the University's Disciplinary Procedures approved by Council.

The fabrication of research results includes: claims, which cannot reasonably be justified, to have obtained specific or general results; false claims in relation to experiments, interviews, procedures or any other research activity; and the omission of statements in relation to data, results, experiments, interviews or procedures, where such omission cannot reasonably be justified. Any student who is suspected of having fabricated research results in relation to submitted and assessed work which contributes to an examination or degree result, will be dealt with under the University's Assessment Irregularities Procedure and may also be subject to disciplinary action as determined by the Academic Registrar in accordance with the University's Disciplinary Procedures.

Plagiarism is the unacknowledged use of another person's ideas, words or work. At one extreme, plagiarism is simply a form of cheating, such as where the whole or a significant part of work submitted towards an examination or degree is the unacknowledged work of another, copied slavishly from a book or research paper. At the other extreme, plagiarism may occur accidentally, through poor standards of scholar-ship, or may concern insignificant parts of submitted work. Plagiarism may involve the use of material downloaded from electronic sources such as the Internet.

Further guidance is provided in Part 3 of this handbook in the ‘Guidelines for Research Students and Supervisors’ section.
Code of Good Practice in Research

The University expects all its staff and students to adhere to the highest standards of integrity in research. This statement addresses the issues involved in the proper conduct of research and provides guidance on the standards expected. It applies to all Researchers (defined here as all staff, honorary staff, students and visiting workers undertaking research within or on behalf of the University). Student research misconduct will be dealt with via the student disciplinary procedures, and staff research misconduct via the Policy and Procedure for Investigating Allegations of Research Misconduct.

Within this overarching framework there may be specific discipline requirements in areas such as ethics, clinical governance, data protection, legal requirements, Home Office and other government requirements, in addition to health and safety and other good laboratory practice requirements. Some disciplines may also be subject to specific good practice requirements of external funding agencies or professional bodies.

The University has signed up to the Concordat to Support the Career Development of Researchers (http://www.ncl.ac.uk/hr/concordat/index.php) which governs working practices, roles and responsibilities of research staff. The full code is available at: https://www.ncl.ac.uk/research/researchgovernance/goodpractice/

Dignity and Respect Procedure

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.

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.

The full Policy on Dignity at Work and Study is available at: https://www.ncl.ac.uk/hr/policy/dignity-respect.php

**Equality Strategy**

**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.

**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.

**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.

The full policy is available at: 
http://www.ncl.ac.uk/diversity/publications/equalitystrategy.php

Policy and Procedure on Public Interest Disclosure

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.

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.

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.

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

Policy for Intellectual Property and Research Studentships

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 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.

The Confidentiality and Intellectual Property Policy Statement for Research Students, is available at:
https://www.ncl.ac.uk/media/wwnclacuk/research/files/Confidentiality%20and%20IP.pdf

Further general guidance about Intellectual Property is available from the University Research Office:
https://newcastle.sharepoint.com/hub/res/Pages/intellectualproperty.aspx

**Copyright Licence Agreement**

The University has a Licence with the Copyright Licensing Agency Limited to enable students and members of staff to copy extracts, *within clearly defined limits* (set out below) from books, journals and periodicals published in the United Kingdom, Australia, Canada (including Quebec), Denmark, Finland, France, Germany, Greece, Iceland, The Netherlands, New Zealand, Norway, Republic of Ireland, South Africa, Spain, Sweden, Switzerland and by some publishers in the United States of America*.

**What the Licence covers**

The Licence permits the copying of extracts (whether the pages copied consist of text or graphics or are a combination of text and graphics) from most books, journals and periodicals published in the UK (and in the other Mandating Territories shown above), with the specific exception of those belonging to one of the categories of material defined in the next section.

The basic permission to photocopy extends to the copying (from paper on to paper) of:

- up to 5 per cent or one complete chapter (whichever is the greater) from a book;
- up to 5 per cent or one whole article (whichever is the greater) from a single issue of a journal;
- up to 5 per cent or one paper (whichever is the greater) from a set of conference proceedings;
- up to 5 per cent of an anthology of short stories or poems or one short story or one poem of not more than 10 pages (whichever is the greater);
• up to 5 per cent or one single case (whichever is the greater) from a published report of judicial proceedings.

**What the Licence does not cover**
The following Excluded Material is outside the scope of this Licence Agreement:

- printed music (including the words)
- bibles, liturgical works, orders of service
- maps, charts, or books of tables
- newspapers
- public examination papers
- industrial house journals
- workbooks, work cards and assignments
- 'copying not allowed under the CLA licence' titles
- private documents (fee-based tuition)
- works included on the Excluded Works list
- works published by non-participating US publishers
- works published outside Mandating Territories

**Policy on Postgraduates Who Teach**
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.

Further information can be found in the Policy on Postgraduates Who Teach at: [http://www.ncl.ac.uk/ltds/assets/documents/qsh-pgswhoteach-pol.pdf](http://www.ncl.ac.uk/ltds/assets/documents/qsh-pgswhoteach-pol.pdf)