Handbook
for
Research Students
and
Research Supervisors

August 2003
Introduction by the Pro-Vice-Chancellor

Welcome to Newcastle University. As one of the UK’s leading universities we regard research students as a particularly important part of our community of learning. The graduate culture, its development and enhancement, is the first priority of our Learning and Teaching Strategy, and we have recently established three Graduate Schools (one in each Faculty) to take forward this agenda and serve as a focal point for our research students. You will also find that each Faculty has a Dean responsible for postgraduate studies, who, among other things, oversees the quality and relevance of the training programmes offered to research students, and ensures that arrangements are in place to facilitate each student’s progress through his or her research degree. Also, each Faculty is fully committed to further developing the range of training events and options for research students.

In addition to postgraduate common rooms in Schools and Faculties, the University has recently invested in an exciting new building called ‘the Beehive’. It is centrally located and due to open in the Spring of 2004. Postgraduate students, as well as staff, will be able to use the social facilities in the Beehive, and will have a dedicated area in which to relax and meet one another. We look forward to seeing you there.

May I wish you the very best of success with your studies.

Professor Madeleine J Atkins
Pro-Vice-Chancellor for Teaching and Learning
Section One - University Information

Important information upon arrival at the University of Newcastle upon Tyne

Dates of Terms and Semesters

<table>
<thead>
<tr>
<th>2003-04 Academic year</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Michaelmas term</td>
<td>Tuesday 16 September 2003</td>
<td>Friday 12 December 2003</td>
</tr>
<tr>
<td>Epiphany term</td>
<td>Monday 12 January 2004</td>
<td>Friday 19 March 2004</td>
</tr>
<tr>
<td>Easter term</td>
<td>Monday 19 April 2004</td>
<td>Friday 11 June 2004</td>
</tr>
<tr>
<td>Semester 1</td>
<td>Tuesday 16 September 2003</td>
<td>Friday 23 January 2004</td>
</tr>
<tr>
<td>Semester 2</td>
<td>Monday 26 January 2004</td>
<td>Friday 11 June 2004</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2004-05 Academic year</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Michaelmas term</td>
<td>Monday 13 September 2004</td>
<td>Friday 10 December 2004</td>
</tr>
<tr>
<td>Epiphany term</td>
<td>Monday 10 January 2005</td>
<td>Friday 18 March 2005</td>
</tr>
<tr>
<td>Easter term</td>
<td>Monday 18 April 2005</td>
<td>Friday 10 June 2005</td>
</tr>
<tr>
<td>Semester 1</td>
<td>Monday 13 September 2004</td>
<td>Friday 21 January 2005</td>
</tr>
<tr>
<td>Semester 2</td>
<td>Monday 24 January 2005</td>
<td>Friday 10 June 2005</td>
</tr>
</tbody>
</table>

Registration

Every student at the University of Newcastle upon Tyne is required to register with the University at the start of his or her programme of study and normally at the beginning of each subsequent academic year that he or she remains a student. Registering confers on each person who undertakes the process an official status as a student of the University.

Information about how and when to register is sent to all new and returning students before the beginning of each academic year. If you require details on registration, you should contact your Graduate School Office.

Research students who are not in Newcastle during the main registration period may register by post and should contact the relevant Graduate School or the Student Progress Section (see Part Two) in advance of the main registration period if they wish to do so.

All research students must register for each year of their minimum required period of registration as specified in the regulations for the relevant degree.

Once the minimum required period of registration has been completed, there are various options open to research students who remain eligible to submit a thesis. These are as follows:

1. A research student may, if his or her supervisor requires it or if he or she chooses, continue to register as a full-time or part-time candidate. Such students will be entitled to continue using University facilities and will be entitled to normal supervision. Candidates who still need normal supervision at this stage are likely to need an extension of time in which to submit their thesis, and should consult their supervisor about applying for an extension.

2. A research student may, subject to the approval of the supervisor, register as a 'full-time (writing-up)' or 'part-time (writing-up)' candidate. The full-time (writing-up) mode of registration is only open to students who have completed the minimum required period of registration as full-time candidates. Students registering as 'writing-up' will be entitled to use University library and computing facilities but will not be entitled to receive normal supervision.

3. A research student may, subject to the approval of the supervisor, not register at all for the remainder of the period in which he or she is eligible to submit a thesis. Such students will not be entitled to use University library or computing facilities and will not be entitled to receive normal supervision.

The respective fees payable by candidates registering in accordance with paragraphs 1 or 2 above are set out in the University's Fees Schedule. No fees are payable in the case of candidates who, in accordance with paragraph 3 above, do not register.

After you have registered, you may collect your SMART CARD. All students need a Smart Card in order to use the University Library, Sports Centre, some Computing Service facilities and the students' Union. In addition, you have 24-hour access to the OLUA cluster and the cluster rooms in the Bedson Building. Your Smart Card will contain a digital photograph and brief details including your name, programme of study and card expiry date. Once you have obtained your Smart Card, you will keep it for the duration of your studies, although you will need to go through the process of Registration at the start of each new academic year for the card to remain active. There will be no charge for your Smart Card, but if you should lose it there will a charge of £10 for a replacement.
Note:
This version of the Handbook has been provided to stage 1 and stage 2 research students in 2003/4 academic year. The Handbook is also available on the University’s website at www.ncl.ac.uk/internal/research-handbook.

The website version will be updated annually. The spirit of much of the content is unlikely to change. However, in the future you may wish to download, from the website, copies of new or revised information to include in your file.
CONTENTS

SECTION ONE – University information

Introduction
Introduction by the Pro-Vice-Chancellor
Important Information upon arrival
Dates of Terms and Semesters
Registration
Contents for Section One

Part One – Financial Matters
Tuition Fees
Childcare Funding
Financial Support
Council Tax
Travel Insurance for Students
Support for Disabled Students
International Scholarships and Bursaries

Part Two – Facilities And Services
The Library
University Computing Service (UCS)
Careers Service
Graduate Schools
Student Advice Centre
Accommodation Office
Student Counselling Service
Provision for Students with Disabilities
Chaplaincy
Medical Matters
Health and Safety
Childcare
Language Centre
Students’ Union
Sport in the University

Part Three – Personal Matters
Sources of Advice and Assistance for Postgraduate Research Students
Postgraduate Student Support Officer
Study Skills
Crime Prevention and Personal Safety
Information for International Students
Payments for Teaching and Demonstrating Duties

Part Four – Academic Matters: University Regulations
General Regulations
Degree of Master of Philosophy
(Masters’ Degrees by Research)
Degree of Doctor of Philosophy
(Degree of Doctor of Philosophy (Examination
Conventions for Student Candidates)

Degree of Doctor of Philosophy (Integrated)
(Regulations for Student Candidates)
Degree of Doctor of Philosophy
(Regulations for Staff Candidates)
Degrees of Doctor of Letters; Doctor of Engineering; Doctor of Laws; Doctor of Science in Medicine or in Science or in Engineering or in Agriculture and Biological Sciences
Rules for the Submission of Work for Higher Degrees
Rules for the Form of Theses
Degree of Doctor of Dental Surgery
Degree of Doctor of Medicine

Part Five - Academic Matters: University Guidelines and Policies for Research
Guidelines for Research Students
Guidelines for Supervisors of Research Students
Guidelines on Good Practice for Research Students 2003–4
Guidelines on Good Practice in Research Supervision 2003–4
University Handbook for Examiners of Research Degrees by Theses 2003–4
Code of Practice for Research Degree Programmes (draft as at July 2003)
Standards of Academic Conduct
Guidelines on External Funding – RIS Contributions
Advice for Collaborative Studentships
What to do when your research nears completion ...
Code of Good Practice in Research

Part Six – Academic Matters: Policies and Procedures
Procedure for Assessment Irregularities
Appeals Procedure
Policy on Dignity at Work and Study (Code of Practice for Staff and Students)
Race Equality Policy
Policy and Procedure on Public Interest Disclosure
Student Disciplinary Procedures
Student Complaints Procedure
Withdrawing from the University
Policy for Intellectual Property and Research Studentships
Policy and Procedure for Investigating Allegations of Research Misconduct (for staff)
Copyright License Agreement
Student Complaint Form

Part Seven – Useful Contacts

SECTION TWO – Faculty Information
(To be provided by your faculty graduate school)

SECTION THREE – School Information
(To be provided by your academic school or research group)
PART ONE

Financial Matters

It is important that supervisors and students are aware of regulations related to the payment of fees to the University and also of sources of financial help, should they ever be required. The following Part provides comprehensive information on financial matters and you are recommended to spend some time making yourself aware of what is available should the need for the full information ever arise.

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition Fees</td>
<td>2</td>
</tr>
<tr>
<td>Childcare Funding at the University of Newcastle upon Tyne</td>
<td>2</td>
</tr>
<tr>
<td>Financial Support</td>
<td>3</td>
</tr>
<tr>
<td>Council Tax</td>
<td>3</td>
</tr>
<tr>
<td>Travel Insurance for Students</td>
<td>4</td>
</tr>
<tr>
<td>Support for Disabled Students</td>
<td>4</td>
</tr>
<tr>
<td>International Scholarships and Bursaries</td>
<td>6</td>
</tr>
</tbody>
</table>
Tuition Fees

The fees payable by postgraduate students are set in the University Fees Schedule available from the Registrar's Office, 6 Kensington Terrace and on the University's website at www.ncl.ac.uk/calendar/fees/

Students who receive sponsorship should show a suitable letter from their sponsor to the representatives of the Finance Office at Registration to confirm that the sponsor will be paying the fees due. Students who are wholly self-supporting are permitted to pay their fees in up to four instalments, the first instalment being due at Registration, the second at the end of November, the third at the end of January, and the fourth at the end of April. Payment may be made by cheque, cash, direct debit or credit card. If you have any queries about your tuition fees, you should contact the Finance Office at 1 Park Terrace (telephone 0191 222 5520 or e-mail: Tuition-Fees@ncl.ac.uk).

International Students may particularly like to note the following footnote of the Fees Schedule:

The following part-time overseas students pay the part-time fee at the home rate:

(a) candidates already registered on the programme of study concerned as part-time students before 1 September 1997;
(b) candidates repeating programmes which they have previously taken as full-time students;
(c) research degree candidates who have completed the normal minimum period of full-time study (three years' full-time study for a PhD and one year's full-time study for a Master's degree) and for whom subsequent part-time registration is deemed to be appropriate, on academic grounds, by the Postgraduate Sub-Dean;
(d) research degree candidates whose terms of candidature stipulate that the research be conducted, in whole or in part, overseas;
(e) BPhil in Educational Studies candidates who register for one year's part-time study (normally in their own country) following completion of the full-time Advanced Diploma in Education.

Childcare Funding at the University of Newcastle upon Tyne

A range of financial support measures is available to assist student parents with the cost of fees for childcare, i.e. paying for someone else to care for your child while you study and your partner either works or studies. All childcare must comply with the requirements of the Children Act 1989. Advice and information is available from the Childcare Support Officer who processes all applications for childcare funding from within the University. Further details of how the Childcare Support Officer can assist students appear in Part Two of this Handbook.

To be eligible for financial support for childcare fees, students must be registered at the University of Newcastle upon Tyne to study either full time or part time, so long as the course is equivalent to at least 50 per cent of a full time course. Funding is not available to students on pre-sessional courses.

Applications for financial support should be made in June or July prior to the beginning of the academic year in September. Whilst late applications are welcome throughout the academic year, a waiting list may be in operation.

The financial support available for Postgraduate students is in the form of subsidies paid direct to the childcare provider. All funding is discretionary and for one academic year only, although you may re-apply for the following year. There is no guarantee that funding will be made available to you. The source of childcare funding for which a particular postgraduate student may be eligible depends on the student’s status.

A. International students (Newcastle University Childcare Fund)

This is available to international students doing either undergraduate or postgraduate studies. All childcare used must be registered under the Children Act 1989. The Childcare Fund is controlled by the Financial Assistance Panel.

The University expects international students to have made adequate financial provision for their stay in the UK, and this includes childcare. The financial assistance available is therefore limited and based on an assessment that includes:

(i) family income;
(ii) the level of childcare deemed appropriate in relation to the student’s study needs;
(iii) the availability of the student’s partner to care for the child;
(iv) the student’s status within the University (and that of their partner if relevant);
(v) available funding.

B. Home Students (Hardship Funds – to become known as the Access to Learning Fund).

This is government funding that can be used at the University’s discretion to assist UK students, including those doing postgraduate studies. To be eligible for Hardship Funds, PGCE students, like undergraduates, must have taken out the full student loan for which they have been assessed by their Local Education Authority (LEA).
The Financial Assistance Panel, which controls the allocation of Hardship Funds, will consider awards towards childcare fees. The childcare provision used should normally be registered, but consideration will be given to the costs of unregistered care that complies with the requirements of the Children Act 1989.

Funding Sources outside the University

- The Nursery Education Grant is available to international and UK students. It is payable for children who have reached their third birthday and who attend a day nursery approved for the scheme. The LEA makes payments direct to the day nursery, therefore reducing the cost to the parent. The day nursery will deal with this.

- A Childcare Tax Credit is available to UK students who are employed for 16 hours per week or more and use registered childcare. If the student has a partner, the partner must also be employed for more than sixteen hours per week. Applications should be made to the Inland Revenue.

- The Childcare Grant is available to UK students doing PGCE or undergraduate courses and who are eligible for student funding from the LEA.

For further information about childcare funding and childcare provision contact:
Joan Tebbutt,
Childcare Support Officer,
Student Welfare Service.
Telephone: 0191 222 3599
E-mail: childcare@ncl.ac.uk

Financial Support

A Hardship Funds (UK Students only)
Universities receive Hardship Funds from the government each year so that they can provide selective help, at their discretion, to students who have financial difficulties. There are certain conditions which have to be met by students to be eligible to apply.

Broadly speaking, full-time and most part-time registered students will be eligible to apply for Hardship Funds if they meet government residency rules. Details of the residency rules are provided on Hardship Fund application forms. Postgraduate applicants must be able to show that their financial hardship is unforeseen and not the result of having embarked on a course of study without sufficient funding to cover course fees and living costs.

Further details about Hardship Funds and how to apply are attached to the Hardship Fund application form. Information about funding for student parents is in the above section on Childcare Funding.

B Financial Assistance Fund (for International Students only)
The University provides limited funds to help international students who are facing severe financial hardship. Awards from the Fund are made on a discretionary basis and any overseas student studying a degree programme at the University is eligible to apply. Applicants must be able to show that their financial difficulties have arisen through unforeseen and exceptional circumstances since it is a condition of registering for a programme of study at the University that students have ensured they have adequate funds to cover tuition fees and living expenses for their whole period of study. Students should not apply to the Fund until they have first explored other ways of supporting themselves.

C Information and Applications
Further details about the various student financial support packages can be found on the University’s Welfare website at www.ncl.ac.uk/student-support. Application forms for Hardship and Financial Assistance Funds will be available from late September from the Registrar’s Office Reception, 6 Kensington Terrace, University of Newcastle upon Tyne, and from the Student Advice Centre, First Floor, Union Society Building, King’s Walk and should be returned to the Student Welfare Service, 6 Kensington Terrace.

Council Tax

The Council Tax (CT) is a tax based on notional property value. Each property is assessed by the local authority and assigned to a Valuation Band. A Council Tax bill for the amount relevant to that Band is then sent to that dwelling, unless the property is exempt.

Student halls of residence and University flats and, in Newcastle, private properties managed by the University, are exempt from Council Tax and students living in such accommodation will not receive Council Tax bills.

Full-time students living in non-University accommodation are normally exempted on production of a CT exemption certificate issued by the University, unless they share their accommodation with non-students (including a spouse or partner) or part-time students. Such adult persons attract CT to the property and render the student occupiers liable too. They cannot claim CT exemption but may be able to claim Council Tax Benefit (CTB) covering up to the amount of the whole bill if they have low income or are receiving benefits. In the case of a spouse or partner, joint income is taken into account. Full-time students cannot claim CTB.

Non-British and non-EEA-citizen spouses of non-EEA international students may have the student's exemption extended to include them if the terms of their immigration leave to remain in the UK exclude them from working or claiming benefits.

If full-time students share with only one non-exempt person the bill attracts a discount of 25 per cent; if with two or more non-exempt persons, the CT is charged at 100 per cent.

For those who need them, Student Council Tax exemption certificates will be issued by the relevant Graduate School or the Student Progress Section in the Registrar’s Office (6 Kensington Terrace). (If you need a CT exemption certificate, request one at least a week before your deadline, as it may take several days to produce the certificates during busy periods.)

Further details about Council Tax are given in leaflets produced by the Student Advice Centre (see Part Two) and are also available on their website at www.ncl.ac.uk/studadv/
Travel Insurance for Students

The University is able to offer insurance to registered students on any organized University activity outside the United Kingdom including field study trips, exchanges and sporting activities. The rates offered are set out below, together with details of the insurance cover provided. The figures given are correct at the time of going to press.

<table>
<thead>
<tr>
<th>Rates</th>
<th>Period</th>
<th>European</th>
<th>Worldwide</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>7 Days</td>
<td>£12</td>
<td>£20</td>
</tr>
<tr>
<td></td>
<td>17 Days</td>
<td>£15</td>
<td>£30</td>
</tr>
<tr>
<td></td>
<td>1 Month</td>
<td>£20</td>
<td>£40</td>
</tr>
<tr>
<td></td>
<td>2 Months</td>
<td>£30</td>
<td>£50</td>
</tr>
<tr>
<td></td>
<td>3 Months</td>
<td>£50</td>
<td>£60</td>
</tr>
</tbody>
</table>

Quotations can be given for longer periods.

Cover Provided

1. Personal accident: £20,000 in respect of death, loss of limbs/eyes, or permanent total disablement
2. Medical and emergency travel expenses: unlimited
3. Personal liability: £2,000,000
4. Personal baggage: Maximum £3,000
   Any one article limit £1,000
5. Money/credit cards: £1,500
6. Cancellation curtailment: £3,000

All sporting activities included. £50 excess applies to each section.

For further details, contact Mrs G Bailey in the Finance Office at 1 Park Terrace, telephone 0191 222 6522; e-mail: glenys.bailey@ncl.ac.uk or see:
www.ncl.ac.uk/internal/finance/insurance/insurancedept.htm

Support for Disabled Students

Disabled Students’ Allowance (DSA)

You may have extra costs going into study because of your disability. These may include extra travel costs, a need for specialist equipment such as voice recognition software or personal assistance such as a note-taker or interpreter.

If you gain research council funding, you can get Disabled Students’ Allowance (DSA) as part of the council’s award package. See the section on research council funding below.

If you are a student from Scotland or Northern Ireland, you can get DSA if you get a studentship or bursary.

DSAs are now available for open and distance learning courses in postgraduate study. Students from England and Wales should contact their LEA for an application form.

Starting from the academic year 2000-01, postgraduate students from England and Wales can obtain DSAs to support disability related costs on their course. The allowances are non-means tested. There is one allowance to meet all costs (specialist equipment, non-medical helper, general expenditure and travel) of up to £5,370 a year for both full-time and part-time postgraduate students.

If you begin your postgraduate course straight after an undergraduate course, any specialist equipment that has already been given to you may be taken into account. However, if it no longer meets your needs it can be upgraded or replaced. Students doing more than one part-time course at the same time can only apply for one DSA. There is no age limit.

Course criteria:

- A designated course such as research and taught masters, doctorates, diplomas and certificates.
- It would normally require a first degree or equivalent before entry.
- It should be a minimum one year in length.
- The course can be either full time or part time.
- If part time, the course should be at least 50 per cent of the full-time course equivalent. That is, it should take more than twice the time to complete as a full-time course.

If you are a postgraduate student, you should ask your LEA to send you the DSA application form for postgraduate students.

You can also download this from the following website at www.dfes.gov.uk/studentsupport/formsandguides/

Students/courses not eligible for DSA:

- Students receiving DSAs via research councils or similar bodies.

If you are fortunate enough to get statutory funding you may also have any disability-related costs paid for. The contact list of funding bodies explains the disability-related funding available from each body.

For help or advice on applying for Disabled Students’ Allowance contact the Disability Support Service, telephone 222 7623 or e-mail disability.unit@ncl.ac.uk

Hardship Funds

If you are not eligible for statutory funding, but face extra costs because of your disability you may be eligible to apply to the Hardship Fund administered by the University. Further details are available earlier in this section.
Research Council and other Public Funding
You can get government funded research grants, studentships or fellowships for some postgraduate courses, but they are mostly for postgraduate research. The awards mainly come from research councils that cover an area of study. For example, the Economic and Social Research Council (ESRC) has responsibility for the social sciences and the Arts and Humanities Research Board (AHRB) oversees the humanities and certain professional and vocational subjects. Most taught postgraduate courses do not attract research council funding. Universities and colleges will know if any of their courses attract bursaries. The research councils publish a list of the academic departments/schools they have approved for funding each year, which you can find at your university careers service.

Not all postgraduate courses attract studentships and not all students on those that do will be eligible to receive one. All research council funding except some ESRC awards are given through university schools, so apply for these awards through the school where you want to study.

Only one research council (if any) will fund the course you are interested in, so only apply to the relevant one. Contact the funding bodies listed below for further information about the type of courses they fund, the nature of their studentships, and how to apply for them.

The details below also have information about each research council's Disabled Students' Allowances. These allowances are not the same as the Postgraduate Disabled Students' Allowances available from LEAs (explained above). If you gain research council funding you can obtain Disabled Students' Allowances from the research council only.

For further information contact:
Disability Support, Robinson Library
University of Newcastle upon Tyne
Telephone: 0191 222 7623
Fax: 0191 222 5539
Textphone: 0191 222 5545

<table>
<thead>
<tr>
<th>Research Council contact details:</th>
<th>Disabled Students’ Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Arts and Humanities Research Board (AHRB)</strong>&lt;br&gt;Postgraduate Awards Division&lt;br&gt;10 Carlton House Terrace, London SW1Y 5AH&lt;br&gt;Telephone: 020 7969 5205 Fax: 020 7969 5405&lt;br&gt;E-mail: <a href="mailto:pgaenq@ahrb.ac.uk">pgaenq@ahrb.ac.uk</a>&lt;br&gt;Website: <a href="http://www.ahrb.ac.uk">www.ahrb.ac.uk</a></td>
<td>An extra allowance may be available.&lt;br&gt;Apply to studentships office enclosing full documentation including medical evidence, documentation relating to previous support received and supporting statements from your institutional authorities.</td>
</tr>
<tr>
<td><strong>Biotechnology and Biological Sciences Research Council (BBSRC)</strong>&lt;br&gt;Polaris House, North Star Avenue, Swindon SN2 1UH&lt;br&gt;Telephone: 01793 413 200 Fax: 01793 413 201&lt;br&gt;Website: <a href="http://www.bbsrc.ac.uk">www.bbsrc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Specialist equipment: £4,355&lt;br&gt;General expenses: £1,455 pa&lt;br&gt;Non-Medical Helper: £11,015 pa</td>
</tr>
<tr>
<td><strong>Economic and Social Research Council</strong>&lt;br&gt;Polaris House, North Star Avenue, Swindon SN2 1UJ&lt;br&gt;Telephone: 01793 413 000 Fax: 01793 413 001&lt;br&gt;Website: <a href="http://www.esrc.ac.uk">www.esrc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Maximum amounts:&lt;br&gt;Specialist equipment: £4,355&lt;br&gt;General expenses: £1,455 pa&lt;br&gt;Non-Medical Helper: £11,015 pa&lt;br&gt;The actual amount you may be entitled to will be determined by your individual needs.</td>
</tr>
<tr>
<td><strong>Engineering and Physical Sciences Research Council</strong>&lt;br&gt;Polaris House, North Star Avenue, Swindon SN2 1ET&lt;br&gt;Telephone: 01793 444 000 Fax: 01793 444 010&lt;br&gt;E-mail: <a href="mailto:infoline@epsrc.ac.uk">infoline@epsrc.ac.uk</a>&lt;br&gt;Website: <a href="http://www.epsrc.ac.uk">www.epsrc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Payment will be considered for the cost of additional general expenses, non-medical helpers or major items of equipment incurred as a result of a disability. The level of allowance agreed by the Council will reflect the student’s individual circumstances.</td>
</tr>
<tr>
<td><strong>Medical Research Council</strong>&lt;br&gt;20 Park Crescent, London W1N 4AL&lt;br&gt;Telephone: 020 7636 5422 Fax: 020 7436 6179&lt;br&gt;Website: <a href="http://www.mrc.ac.uk">www.mrc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Specialist equipment: £4,255&lt;br&gt;General expenses: £1,420 pa&lt;br&gt;Non-Medical Helper: £10,755 pa</td>
</tr>
<tr>
<td><strong>Natural Environment Research Council</strong>&lt;br&gt;Postgraduate Support Section&lt;br&gt;Polaris House, North Star Avenue, Swindon SN2 1EU&lt;br&gt;Telephone: 01793 411 500 Fax: 01793 411 501&lt;br&gt;Website: <a href="http://www.nerc.ac.uk">www.nerc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Maximum amounts:&lt;br&gt;Specialist equipment: £4,255&lt;br&gt;General expenses: £1,420 pa&lt;br&gt;Non-Medical Helper: £10,755 pa&lt;br&gt;The actual amount you may be entitled to will be determined by your individual needs.</td>
</tr>
<tr>
<td><strong>Particle Physics and Astronomy Research Council</strong>&lt;br&gt;Education and Training Section&lt;br&gt;Polaris House, North Star Avenue, Swindon SN2 1SZ&lt;br&gt;Telephone: 01793 442 118 Fax: 01793 442 036&lt;br&gt;Website: <a href="http://www.pparc.ac.uk">www.pparc.ac.uk</a></td>
<td>Disabled Students’ Allowances 2002–03&lt;br&gt;Specialist equipment: £4,355&lt;br&gt;General expenses: £1,455 pa&lt;br&gt;Non-Medical Helper: £11,015 pa</td>
</tr>
</tbody>
</table>
International Scholarships and Bursaries

The University offers a limited number of scholarships and bursaries – these are:

- International Research Scholarships (IRS)
- International Postgraduate Scholarships (IPS)
- International Alumni Scholarships (IAS)
- International Family Scholarships (IFS)
- Alumni Fund Bursaries (AFB)
- Overseas Research Students Awards Scheme (ORS)

Full details are available at:
www.ncl.ac.uk/postgraduate/international/intfinance.phtml

With the exception of the ORS Awards, which are open to international students in the first year of their research studies, all of the above awards are only available to prospective students whilst they are applying to the University and are offered during the admissions process. As such, students holding these awards should have received confirmation from the University prior to the start of their studies.

Students who have a query about their award should contact:
Scholarships Officer
International Office
6 Kensington Terrace
Newcastle upon Tyne NE1 7RU
Telephone: +44 191 222 5742 / 5537 / 8152
Fax: +44 191 222 6139 / 5212
E-mail: funding-enquiries@ncl.ac.uk

Faculties/schools may occasionally offer other studentships and bursaries – please refer to your faculty/school section in this Handbook if appropriate.
There are many services available to staff and students in the University and there follows a full list of all the main services, each with a description of what you can expect and how you access them. Some are essential to your fulfilling your studies here, others pertain more to important leisure activities. Do take some time to familiarize yourself with everything which is available.

You will also find a list of Postgraduate Tutors in the Faculty section of the Handbook.

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Library</td>
<td>8</td>
</tr>
<tr>
<td>University Computing Service (UCS)</td>
<td>8</td>
</tr>
<tr>
<td>Careers Service</td>
<td>8</td>
</tr>
<tr>
<td>Graduate Schools</td>
<td>10</td>
</tr>
<tr>
<td>Student Advice Centre</td>
<td>10</td>
</tr>
<tr>
<td>Accommodation Office</td>
<td>11</td>
</tr>
<tr>
<td>Student Counselling Service</td>
<td>12</td>
</tr>
<tr>
<td>Provision for Students with Disabilities</td>
<td>12</td>
</tr>
<tr>
<td>Chaplaincy</td>
<td>12</td>
</tr>
<tr>
<td>Medical Matters</td>
<td>13</td>
</tr>
<tr>
<td>Health and Safety</td>
<td>14</td>
</tr>
<tr>
<td>Childcare</td>
<td>14</td>
</tr>
<tr>
<td>Language Centre</td>
<td>15</td>
</tr>
<tr>
<td>Students’ Union</td>
<td>15</td>
</tr>
<tr>
<td>Sport in the University</td>
<td>16</td>
</tr>
</tbody>
</table>

See Also: Part Three - Postgraduate Student Support Officer
The Library

Library Support for Research

ResIN – Research Information at Newcastle

Up to date information on what the Library can offer to help with your research can be found on the Library web pages at www.ncl.ac.uk/library. Just follow the link to ResIN.

ResIN will answer questions such as:

• Where do I start?
• How do I find books on my research topic?
• How can I find periodical articles on my research topic?
• What archival/primary material is available on my research topic?
• Where can I find published research reports?
• Is there a government or professional view on my topic?
• What’s on the Internet for me?
• How can I keep a record of everything I find?
• Is the material I want in the Library?
• How can I access material which is not in the Library?
• Where can I find a quiet place to study?
• How do I get my thesis bound?
• How can I get something translated?
• Are there any conferences I can go to this year?
• Where can I find help with research proposals?

Liaison Librarians

Your Liaison Librarian is here to help you make best use of the services and resources provided by the Library. Come and discuss your research with us.

Humanities and Social Sciences
Linda Kelly, e-mail: Linda.Kelly@ncl.ac.uk, ext 7667
Pete Maggs, e-mail: Pete.Maggs@ncl.ac.uk, ext. 7665
Jessica Plane, e-mail: Jessica.Plane@ncl.ac.uk, ext. 7656

Science, Agriculture and Engineering
Moiria Bent, e-mail: Moira.Bent@ncl.ac.uk, ext. 7641
Jenny Campbell, e-mail: Jenny.Campbell@ncl.ac.uk, ext. 7640

Medicine, Dentistry and Biosciences
Erika Gwynnett,
Walton Library, Medical School
e-mail: erika.gwynnett@ncl.ac.uk, ext 7792

Special Collections and Archives
Helen Arkwright, e-mail: Helen.Arkwright@ncl.ac.uk, ext 3516

University Computing Service (UCS)

The University Computing Service (UCS) provides fully networked computer services for all students, provided via cluster rooms which are located throughout the University.

In summer 2003 the PC service comprises over 1300 PCs in 43 clusters. The PCs provide the University’s ‘Common Desktop’, currently running under Windows XP, which ensures integrated, secure access to central filestore, mail and print servers.

A separate UNIX service provides two powerful central systems, and a small number of Linux workstations.

An wide range of software is supplied by the cluster services, providing facilities for teaching, research and for personal development. All students have access to full Internet services, including a personal University e-mail address and the ability to publish web pages.

Cluster rooms are open to all members of the University each weekday: some are open for extended hours and at weekends. In some clusters staffed Help Desks offer support, and there is also a phone and e-mail Helpline should you experience difficulties elsewhere.

The University Computing Service has a long history of providing outstanding network services. As one of the primary sites for the UK's academic SuperJANET network, and the hub for the North East's NorMAN metropolitan Area Network, the University has exceptionally good connections to the Internet.

The various services of the UCS are described in documents which are available in the Cluster Rooms, and also on the UCS web page, www.ncl.ac.uk/ucs/

Careers Service

What’s in it for me? Your questions answered ...

WHAT ADVICE AND GUIDANCE DO YOU OFFER?

Whatever stage of careers planning you are at, and whatever you are hoping to do after your postgraduate research, our team of Careers Advisers and Information Officers can provide practical suggestions to help you move forward. We offer independent information and guidance on a wide range of issues including:

• What are my options when I finish my research?
• How will employers view my research qualification?
• I haven't got a clue what I want to do next!
• What can I do now?
• How can I improve my performance at interviews?
• Where can I find information/vacancies in......?
• How do I find work abroad?

We appreciate that the nature of research and demanding timetables means that it can be difficult to find time to think about your careers. Starting early, rather than leaving it to the final months of your research, will help you to make effective use of your time and effort.
WHO CAN HELP ME AND WHEN?

The Careers Service is located in an accessible location on the second floor in the Armstrong Building. We are open from 9am to 5pm Monday to Wednesday, until 6pm on Thursday and 4.45pm on Friday. During opening hours, there is an Information Officer available to offer immediate help and answer short questions. Our team of Information Officers can also help you make the most of the resources in the Information Room and on the Web.

Careers Advisers are available for short consultations from Monday to Friday between 10am and 4pm except Thursdays when they are available between 3 and 6pm. No appointment is necessary. They can offer advice and guidance on managing your career including recognizing what you can offer, researching and evaluating your options, applying for jobs and preparing for interviews. In some cases, a longer guidance interview may be recommended with the Careers Adviser who has specific responsibility for your School.

We also offer individual feedback on CVs and application forms. You can pre-book a 20-minute appointment at Reception or contact us by phone on 0191 222 7748 or email at careers@ncl.ac.uk to book an appointment.

DO YOU HAVE A WEB SITE?

The Careers Service website at www.careers.ncl.ac.uk provides a comprehensive careers reference site including dedicated postgraduate pages, details of events, searchable vacancy information and links to career-related sites across the world. Register with the site to receive details of forthcoming events and opportunities that match your career interests. Once registered, you can configure your own settings to maximize accessibility to our pages. We also maintain a database of graduates, many of whom are alumni, who are willing to offer advice and information on their career path. You can access their details at www.careers.ncl.ac.uk/connections.

WHERE CAN I FIND INFORMATION ON .........?

Our Information Room contains an extensive range of paper-based and web-based materials on managing your career including information on career choice, occupations, employers, postgraduate opportunities, working abroad, work experience and finding and applying for opportunities. You are welcome to use the information on a self-help basis. Information Officers are also available at all times to direct you to relevant resources and to help you to find out more about further options such as working abroad, self-employment and taking time out. If you need any of our materials in alternative formats, please ask at our reception desk.

You can also access detailed occupational and career sector information on PROSPECTS, the UK's official graduate careers website at www.prospects.ac.uk.

ARE THERE ANY RESOURCES SPECIFICALLY FOR POSTGRADUATE RESEARCH STUDENTS?

Yes. In the Information Room, you will find several workbooks and reference materials designed to meet the needs of researchers whether you are intending to pursue a career within or beyond academia and research. Resources that you may find particularly useful include ‘Moving On in Your Career’: A guide for academic researchers and postgraduates’, written by experienced careers professionals Lynda Ali and Barbara Graham and the AgCAS publication ‘University researchers and the job market’ written by the University of London Careers Service. These are available for reference in the Information Room. You will also find links on the Careers Service web pages to various careers-related sites for researchers. We also run dedicated career skills management workshops for research students in each Graduate School. Contact your School for details.

HOW DO I FIND OUT ABOUT VACANCIES?

Each year, thousands of regional, national and international organizations target graduates of Newcastle University. We advertise these opportunities through our Vacancies On-line service at: www.careers.ncl.ac.uk/vacancies

You can search for vacancies on the database and register to receive e-mail notification of the latest vacancies that meet your criteria. Our web pages also refer to other sources of vacancies including specialist directories, newspapers and journals. Don’t forget that academic and professional contacts can also often be useful sources of information and advice.

I'M INTERESTED IN STARTING UP MY OWN BUSINESS, WHAT HELP CAN YOU OFFER ME?

Register at enterprise@ncl.ac.uk to receive details of the latest developments and resources to support graduates interested in starting their own business. A range of sessions and workshops are run throughout the year to develop enterprise awareness and link graduates to various business support services.

CAREERS SESSIONS AND EVENTS .... WHAT'S GOING ON?

Clued Up – A programme of 50 minute sessions held each week during semesters one and two covering the principles of applying for opportunities – CVs, application forms, interviews, assessment centres and aptitude tests.

Employer Events - Throughout the year, many employers visit the University to promote their graduate opportunities. These events offer an opportunity for you to talk informally to recent graduates working in a variety of functions and gain a real insight into their work and the environment in which they work. Register with our website at www.careers.ncl.ac.uk to receive details of such events both on and off campus. In some cases you may be asked to sign up to attend.

Fairs – The annual round of graduate recruitment begins early in semester one with two major events on campus – JOBFEST and the AIESEC Careers Fairs. The Newcastle Graduate Recruitment Fair takes place in June. These events are attended by a range of regional, national and international employers offering immediate vacancies.

Check the Careers Service website or collect a copy of the latest ‘What’s Going On’ leaflet from your Graduate School or the Careers Service at the start of each semester. Alternatively, register your career interests on the Careers Service website to receive regular e-mail notification of events on and off campus that might interest you.

WHAT IF I DON'T WANT TO THINK ABOUT CAREERS YET?

That’s fine. However, choosing and managing a career is rarely a straightforward process. It requires an on-going investment of time and effort even when you know what you want to do. It’s a good idea to start early if you want to increase your chances of finding work that matches your skills and aspirations.

If you require help after you finish your research, you can register with the Careers Service for continued access to all our services and resources. Consult the Careers Service website for further information.

Graduate Schools

The Student Progress Section is the part of the Academic Registrar’s Office whose work is directly concerned with students, from first arrival to graduation. Student Progress and other staff who support postgraduate students are located within three Graduate School Offices, one for each Faculty.

Examples of the issues that the Graduate Schools deal with are:

- Admissions
- Student Registration
- Student Progress (including MPhil/PhD upgrades, suspension of study, extensions to thesis submission dates, academic concessions, appointment of examiners, dealing with thesis submissions and examiners' reports, pass lists)
- Research Students' annual report exercise
- Training programmes for research students.
- Advice on University and programme regulations
- Complaints, academic appeals, student discipline, assessment irregularities.

The Congregations Office, which organizes all degree ceremonies and issues degree parchments, is also part of the Student Progress Section.

There are three Graduate Schools within the University.

**Faculty of Humanities and Social Sciences Graduate School**

7th Floor Daysh Building  
(NB – access via 5th Floor Claremont Tower)  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE1 7RU  
Telephone: +44 (0) 191 222 5503  
Fax: +44 (0) 191 222 7001  
E-mail: hss.gradschool@ncl.ac.uk

**Faculty of Medical Sciences Graduate School**

Medical School  
Framlington Place  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE2 4HH  
Telephone: +44 (0) 191 222 7002  
Fax: +44 (0) 191 222 6521  
E-mail: See the Faculty Section of this Handbook

**Faculty of Science, Agriculture and Engineering Graduate School**

Ground Floor, Agriculture Building  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE1 7RU  
Telephone: + 44 (0) 191 222 6086  
Fax: +44 (0) 191 222 8533  
E-mail: sage.gradschool@ncl.ac.uk

If you are unsure which Graduate School to contact, please telephone (0191) 222 6587 or e-mail Student-Progress@ncl.ac.uk.

Student Advice Centre

The Student Advice Centre is situated on the first floor of the students’ Union Building. The Centre is open Monday to Friday, 10.00 am to 4.00 pm (but closed for staff meetings on Wednesday mornings during term time). During vacations it is closed all day Wednesday as well as Monday and Friday afternoons after 2.00 pm.

Please contact our Reception desk for information, basic advice, or to make an appointment with an Adviser for more complex issues. Appointments cannot be made via e-mail. Our contact details are: telephone 0191 239 3979 (external direct) and 5424 ext 1079 (from within the University); fax 0191 239 3986; or e-mail: student-advice-centre@ncl.ac.uk

The Student Advice Centre is a service of the Union Society staffed by professionals who specialize in student concerns. They can help you by: providing information; listening to any problems; advising on the options open; helping you resolve difficulties; and referring you elsewhere if need be (to a solicitor, counsellor, specialist agency etc). You can browse through a range of information, help yourself to leaflets and obtain forms (immigration, benefits, help with NHS charges, Hardship etc).

Some of the areas on which they are frequently consulted are:

- **Finance** – loans, grants, Hardship Funds, mature students’ allowances, fees, taxes, tax credits, debt, benefits etc;
- **Housing** – landlord/tenant problems, vetting contracts etc;
- **International** – immigration, vacation hospitality, driving licences, residence, dependants, visas for travel, naturalization, asylum etc;
- **Academic** – changing programme of study, withdrawing, appeals, complaints, disciplinary matters etc;
- **Legal** – summonses, insurance, consumer problems etc;
- **Health** – registering with GP, abortion, drugs, AIDS etc;
- **Personal and family** – childcare, divorce, parents etc.

This list is not exhaustive — staff aim to help, or find help, on whatever subject you bring to them. Information about the service, as well as over 90 leaflets and other items, can be found on the Centre’s website at: www.unionsociety.co.uk – access via the SAC logo

Note that anything you say to any of the staff will be treated in strictest confidence and not disclosed without your consent; also that the Union, including the Student Advice Centre, is independent of the University structure and primarily concerned with its members’ welfare.
Accommodation Office

The staff here can offer you support and assistance on a range of accommodation needs and provide a wide range of services including:

- processing of all applications for University accommodation
- creating tenancies for the University flats
- arranging room transfers
- billing of accommodation charges
- credit control
- managing a property leasing scheme
- advertising private sector accredited vacancies
- providing general professional advice on a whole range of accommodation issues

In short, they are there to help you!

Specialist staff are organized into two teams in order to ensure continuity of service whenever the office is open.

University Accommodation

If you have a query regarding your University accommodation, you should contact a member of staff in the University Allocations Team: Teresa Lumsdon, Mark Reynolds, Amanda Hill, Kirsten Reilly or Sarah Morales. If you require information about individual sites, you should contact the Accommodation Office for a copy of the Student Accommodation 2003-2004 brochure, or refer to the University website at: www.ncl.ac.uk/services/accom

Ending Your Tenancy

If you take up a place in University accommodation, you will be provided with a tenancy agreement until the end of the academic year (the minimum agreement is from 11 September 2003 until 12 June 2004). You may apply to extend your stay until the end of August 2004 if you wish to do so. However, there is no guarantee that you will be offered the same room and/or site. All tenancies are terminated normally only in the event of the tenant ceasing to be a registered student of Newcastle University. If you withdraw from University or fail to register you will still be required to pay the full rent due for the termly billing period in which you leave, that is, until 10/9/2003, 10/1/2004, 17/4/2004 or 12/6/2004. Those who leave University accommodation for non-University accommodation remain responsible for the rent until the end of the tenancy agreement or until the room is re-let to another student who is not, at that time, paying rent to the University.

If you are a Postgraduate research student i.e. studying towards a PhD or MPhil, you can give 28 days formal notice to end the tenancy early prior to the end of your period of registered study at Newcastle or if you intend to leave the University for research purposes, and the liability to pay rent terminates after the 28 day notice period. You must provide an official letter of support from your school before the notice can be accepted.

Changing Your Accommodation

If you find your accommodation unsatisfactory in some way you may apply for a transfer to more suitable University accommodation. If you are living in self-catered accommodation and wish to change your room at any time, you should contact the Accommodation Office which will assist you as much as possible with your request. A fee of £25 will be charged for second and subsequent moves in all University accommodation. Applications to move from catered to self-catered accommodation should be made at the hall at which you are living and will only be accepted within the first six weeks of a tenancy and will incur a further charge of £200.

University Accommodation After Your First Year

Some students prefer to stay on in University accommodation for their second and subsequent years but the number of rooms available each year to continuing students depends on the number of expected new students in September of that year. Therefore we cannot guarantee that it will be possible to offer you a room in University accommodation beyond your first year. Information on availability of accommodation for continuing students will be available in January 2004.

Summer Rent

If you are offered accommodation for a second or subsequent year in self-catered accommodation, your tenancy agreement will start in June 2004 and end in June 2005. You will be required to pay rent for every day of the tenancy agreement, which includes the summer period. This means you may stay in your accommodation over the summer vacation and keep your belongings in your accommodation during this time.

Private Sector

If you have a query regarding private accommodation, including the property management service, you should contact a member of staff in the Private Sector Team: Alison Clemett, Pamela Bonner, Grant Jackson or Paul McKinnell. This team provides services for students who are searching for, or currently living in private rented accommodation. Most second and third year undergraduate students live in privately rented accommodation, sharing houses and flats in various areas of the city. New students who do not wish to live in a University residence are advised to consult the Accommodation Office to obtain details of lodgings, flats and houses. Vacant properties are advertised for whole groups/couples/families via the private sector lists but individual rooms can also be found on our shareboard. The Accommodation Office is happy to offer advice and to look at tenancy agreements prior to students signing. Students who need external accommodation should spend some time in Newcastle during the summer vacation to familiarize themselves with the different residential areas and view several properties before making a decision.

University Property Management Service

The University operates a Property Management Service whereby privately owned houses are leased from owners and then rented to groups of students or student families. All properties within the Service meet the Accreditation Scheme standards and are at rent levels that fall within the normal student budget. The Service can offer one to seven-bedroom accommodation in many areas of the city. This Service is very popular with continuing students who decide to share with groups of friends and students with children who prefer to live off campus. A number of properties are reserved each year for new student families. New properties are taken on each year and the Accommodation Office will try to match student-housing requirements to available existing property. Please contact us directly for more information.

Flats, Houses and Bedsits

We recommend any student looking for this type of accommodation to use the services of the Accommodation Office. Details of owners and properties are available from Accommodation Office staff who can provide advice on rent levels and tenancies. All advertised vacancies meet the standards required by Newcastle’s Accreditation Scheme. This Scheme is a joint venture involving amongst others, the city’s universities and colleges, the student unions, the City Council and the local police. It
aims to provide progressive improvements in the standard and safety of private accommodation available to students in Newcastle. It covers gas, electrical and fire safety as well as security and amenity standards. It is strongly recommended that you use the Accommodation Office to find accommodation as other sources may not meet Accreditation Standards.

**Lodgings**

The Accommodation Office has an established list of households offering lodgings. They offer catered or self-catered options. Although not usually popular as long-term accommodation, lodgings are very useful for people waiting for their preferred type of accommodation to become available. A separate list of lodging is maintained for those undergraduate students who are unable to obtain University accommodation at the start of term. These students are offered suitable University accommodation as quickly as possible following the start of term.

Find a Flatmate Scheme

The Accommodation Office has developed a Find a Flatmate Scheme to assist students who are looking for accommodation on their own. By registering to be part of this Scheme, we can put you in touch with other students to form a group to find suitable privately rented accommodation more easily.

To register, e-mail the Accommodation Office at accommodation-enquiries@ncl.ac.uk.

**Opening Hours**

The Accommodation Office is open from 9.00 am to 4.30 pm Monday to Friday.
Telephone: 0191 222 6360; fax: 0191 222 6313; e-mail: accommodation-enquiries@ncl.ac.uk

---

**Student Counselling Service**

The Student Counselling Service is available for any student who has emotional or psychological difficulties. These may be related to past experience or current difficulties. The service offers the opportunity to talk to a counsellor in a confidential setting. The Service is free and available throughout the year.

The office is in Barras Buildings (building 27 on campus map) and is open office hours with some evening sessions available.

To make an appointment you can call into the office, telephone or e-mail:

- Telephone: 0191 2227699
- For appointments or information: student-counselling@ncl.ac.uk
- E-mail counselling is available at e-counselling@ncl.ac.uk

For further information see our web page at: www.ncl.ac.uk/student.counselling

---

**Provision for Students with Disabilities**

The University is committed to improving the quality and range of services and support for students with disabilities. There is a Disability Support Service housed in the Robinson Library with specialist staff who can offer advice, guidance and support to students who have a disability or specific learning difficulty. It is important to contact Disability Support as early as possible to ensure that any requirements for special provision (including alternative examination arrangements or extra exam time) are known well in advance. Disability Support runs a Support Worker Service and will arrange this for you if required. If you have any queries or concerns contact the Disability team on 222 7623 or e-mail: disability.unit@ncl.ac.uk

The government provides funds for disabled students through the Disabled Students’ Allowance to assist students who, because of their disability, incur extra costs. Applications for Disabled Students’ Allowance should be made through your Local Education Authority or the Student Support Agency if you live in Scotland and the Department of Education for Northern Ireland if you live in Northern Ireland.

Further details are available in the Department for Education and Skills booklet entitled *Bridging the Gap* obtainable from your LEA. Advice and help on all aspects of claiming Disabled Students’ Allowance can be obtained from Disability Support. Further information on provision for students with disabilities can be found on the University’s Disability Support website www.ncl.ac.uk/disability.services or from Disability Support Service, Robinson Library, University of Newcastle upon Tyne NE2 4HQ. Telephone: 0191 222 7623. Alternative formats of this section can be obtained on request.

---

**Chaplaincy**

The Chaplaincy is both a place and a community of people. We welcome people of all faiths or none, and are here for all students and staff.

We are part of the life of the University, simultaneously at the centre and on the edge. We live and work with the University community, celebrating its life, mourning its pain and contributing to the experience of students and staff. We are a resource for you, for your questions, your hopes, your dreams, and are here for you when you want to talk, to pray, or simply to have some space. We also work with communities across the city and region, forming and sustaining creative partnerships.

And though all of this we seek to enrich the University with the Story of God.

The Chaplaincy building is at the heart of the campus, just by the Playhouse Theatre. You get in through a brown door on the ground floor. We have a common room, with a small library, a quiet room, a few meeting rooms and a kitchen. It’s a place to come to relax, meet friends, have some space, have a coffee, or meet a Chaplain. It’s a good place to be and all are welcome.

---

Faith is about getting involved, being part of the community, and continually finding new ways to express our love for God and God’s love for the world. As part of this we are involved in a wide range of activities and groups. Our notice-board and website have details of the weekly activities and events.

We keep in touch with many churches and with all of the major faith groups in the city and also with a number of other voluntary organizations. Even if we can’t help, we can normally point you in the right direction. The Chaplaincy – the place and the people – is here for you.

The Chaplaincy’s web page can be found at: www.ncl.ac.uk/chaplaincy or you can call us on 0191 222 6341.

YOUR CHAPLAINS ARE:

- **Rev Michael Haslam (Anglican)**  
  University Telephone: ext 6341 or, from outside the University, 0191 2226341 or 0191 281 5166 (home);  
  E-mail: michael.haslam@ncl.ac.uk

- **Rev Paul Merton (Baptist)**  
  Telephone: 0191 274 2556 (work) or 0191 272 0647 (home);  
  E-mail: paul.merton@ncl.ac.uk

- **Fr David Russell and Sr Anne Donockley (Catholic)**  
  Telephone: University ext 8596 or 0191 281 1053 or 0191 239 9527;  
  E-mail: david.russell@ncl.ac.uk or anne.donockley@unn.ac.uk

- **Rev Graham Peaden (Methodist)**  
  Telephone: 0191 281 2309;  
  E-mail: graham.peaden@ncl.ac.uk

- **Rev Nigel Watson (United Reformed Church)**  
  Telephone: 0191 281 5006 (home) or 0191 281 4676 (church);  
  E-mail: ngwattson@cwcom.net

Two **JEWISH CHAPLAINS** are appointed to the University:

- **Rabbi Dovid Cohen (Orthodox)**  
  Telephone: 0141 577 8246;  
  E-mail: dcoh@arts.gla.ac.uk

- **Rabbi Ian Morris (Reform)**  
  Telephone: 0113 266 5256;  
  E-mail: MorrisLeeds@compuserve.com

There is a **MOSQUE** located on the university precinct:

- Newcastle University Mosque, King George VI Building, University of Newcastle upon Tyne, Newcastle upon Tyne NE1 7RU.  
  Telephone: 0191 232 6889.

Contact may be made via the Chaplaincy with other groups, or directly as follows:

- **Buddhist**  
  Hanham Buddhist Monastery, Belsay, Northumberland NE20 OHE.  
  Telephone: 01661 881612.

- **Hindu**  
  Hindu Temple, 172 West Road, Newcastle upon Tyne NE4 9QB.  
  Telephone: 0191 273 3364.

- **Sikh**  
  Sikh Temple, Tindal Close, Newcastle upon Tyne NE4 SSA.  
  Telephone: 0191 273 8011.

For further details of these or other places of worship, please contact the Chaplaincy.

---

**Medical Matters**

**Medical Care**

Students are required by the University Regulations to register with a medical practice. There are many NHS medical practices in Newcastle: the names and addresses of these are available from the Newcastle Health Authority. Names and addresses of practices in other areas of Tyne and Wear, Durham and Northumberland can be obtained from the local health authority for that area. Before registering with any medical practice, students are advised to ensure that the practice will carry out home visits to their addresses. A list of medical practices in the areas most commonly lived in by Newcastle students may be obtained from the Student Advice Centre.

The University has a special relationship with a practice called the Saville Medical Group. Students can of course register with any practice of their choice, but if they choose to register with the Saville Medical Group they will be able to do so during Registration week when representatives from that practice will be available in the University Ballroom.

**Dental Care**

It is also advisable for students to register with a dental practice. There are many NHS dental practices in Newcastle, the names and addresses of which are available from the Newcastle Health Authority. Names and addresses of practices in other areas of Tyne and Wear, Durham and Northumberland can be obtained from the local health authority for that area.

An independent dental practice, the Kingswalk Dental Practice, is situated on campus at the city end of Claremont Road (entrance from the Playhouse car park). It is open from 9.00 am to 7.00 pm on Mondays and Tuesdays, 9.00 am to 5.30 pm on Wednesdays and Fridays, and 9.00 am to 6.30pm on Thursdays. It offers a full NHS service to students and NHS and private services to members of staff and the general public. All students under 19 years of age are automatically exempt from charges. Other students can collect application forms for exemption certificates (HC 1) from the practice in advance of their appointment in order to avoid charges.

To make an appointment, telephone 0191 222 0725 or 0191 222 6000, ext 6283, fax 0191 222 0725 or call in person and speak to the dental receptionist.
Health and Safety

www.ncl.ac.uk/internal/safety

Every year University students are injured, and most years there are fatalities in the education sector. Almost all of these incidents can be avoided if the risks are identified and suitable controls put in place. On rare occasions activities are stopped because they generate excessive risks and so cannot be permitted to continue without substantial additional controls being put in place.

The University Safety Policy, and considerable amounts of guidance, is on the University Safety Office website at www.ncl.ac.uk/internal/safety. Further guidance and local rules can be obtained from school safety officers, or from the University Safety Office. Every school has a school safety policy, and some labs may also have specific local rules.

It is a legal duty on the University, all staff and students to ensure that the University is a safe place. It is therefore important that everybody complies with the local rules and reports all incidents, defects etc. to the School Safety Office or University Safety Office. If problems are not reported they may result in others being injured.

University safety is driven by risk assessment. There are courses on undertaking risk assessments. Specific local rules have been developed as a result of Risk Assessment and legal requirements. All Research Students will be expected to consider their own safety and the safety of others in their work. Research Students will be accepted for places on many of the University Safety Office training courses.

Prior to undertaking work with some high risk chemicals, training on the specific risks may be required. In particular work with cyanides, phenol and carcinogens will require a clear understanding of the risks and the local rules for minimizing those risks.

For some programmes of study involving biological practical work, health surveillance or immunization may be required. Health surveillance may be necessary by virtue of:

1. The risks arising from the micro-organisms used in the project, or
2. The risks arising from the medical condition of the individual, or
3. Allergy risks arising out of the project (e.g. work with animals).

The details of the arrangements for identifying and reporting a need for health surveillance and/or immunization may be found in the University publication Safe Working with Biological Hazards, which may also be found on the University Safety Office website.

Work with ionizing radiation is also strictly controlled and every school using radiation for research work will have a Radiation Protection Supervisor. Nobody is permitted to use radiation until they have been approved by the University Radiation Protection Officer which will involve a Newcastle course being undertaken. This is to ensure that people are aware of the Newcastle local rules as well as being suitably competent to be permitted to work with sources. There is a specific website for further information on radiation protection at www.ncl.ac.uk/urpo/rpo.html

Childcare

Childcare Support Officer

The Childcare Support Officer is part of the Student Welfare Service. The service provided for all student parents includes:

- Advice and information about childcare facilities and funding sources available;
- Assistance with the completion of applications for childcare funding;
- Support to student parents in respect of their specific concerns and needs.

The Childcare Support Officer deals with all applications for childcare funding from the University. Further details of the funding available to Postgraduate students is included in Part One of this Handbook.

Contact: Joan Tebbutt, Childcare Support Officer, Student Welfare Service.
Telephone: 0191 222 3599
E-mail: childcare@ncl.ac.uk

Children’s Safety Equipment

The Union Society provides a loan service known as U.N.C.L.E., i.e. the University of Newcastle Children’s Loan Equipment Scheme. There is a limited supply of basic safety equipment for very young children.

For further details see the section of this Handbook related to the Union Society Services or contact:
E-mail: uncle.union@ncl.ac.uk

Hardship Fund: this is specifically for UK students who are either postgraduate students or undergraduates and PGCE students who have taken out the maximum student loan for which they have been assessed by their LEA. Childcare used should be registered, although consideration will now be given to the costs of unregistered care which complies with the requirements of the Children Act 1989.

Mature Students Access Bursaries: this type of bursary is only available to those UK students who received it during 2000–01 and are not eligible, or have not opted for, the new Childcare Package. To be eligible students must be continuing their course or moving straight on to a PGCE.

New Access Bursary: this is available to UK students who have been assessed as eligible for it by their LEA.

UK undergraduates and PGCE students should apply to their LEA for assessment but may apply to the Childcare Co-ordinator at the same time. You cannot be double funded, but the University funding can be used as a top-up to the new statutory provision if relevant, or as an alternative if the LEA decides that you are not eligible for the new package of childcare measures.

The UNCLE scheme is also available, which has a supply of basic safety equipment for young children. Students registered at the University can borrow the items, such as fireguards, stair gates, car seats, highchairs, and cots. Membership costs £5 per academic year (1 October to 30 September or part of that time) plus £1 per item for each three month’s loan. The service is only available during term time and September (except for necessary returns) and is operated by UNCLE’s Assistant who works two sessions per week. Please make an appointment and bring with you a chequebook, cheque guarantee card, and University Smart Card. A refundable deposit is required. All items remain the property of the University and must be returned at the end of the loan period.
Language Centre

The Language Centre at Newcastle University provides opportunities and support for language learning for all members of the University.

English

Before Registration, all students whose native language is not English must take a test in English. (Separate information on the test can be found in the Pre-Arrival Information booklet sent to new students.) Advice is then given to you and your tutor on any problems revealed by the test and a recommendation made about what you can do to improve. We may recommend, for example, that you attend some of our classes in academic reading and writing, listening, speaking and seminar skills or grammar and pronunciation, which run throughout term time. These classes are free of charge to registered students. We hold surgeries throughout the year to help with more specific, individual problems. We also run intensive, fee-paying courses in preparation for University study throughout the academic year, as well as an English Language Summer School.

Languages as Part of your Degree

If you are an overseas student whose native language is not English, it may be possible for you to take some modules of English language training as part of your degree. Please check carefully with your tutor that your degree programme regulations allow you to take these courses.

Languages in your Own Time

Even if you cannot study a language as part of your degree, we can still help you.

Open Access Centre: Our Open Access Centre is fully equipped with video, satellite TV and computers for the independent study of almost 50 languages. Advisers are on duty to help with independent language learning. Membership is free to current students of this University. You need to show your Smart Card to register to use the facilities. Access is then through turnstiles activated by your Smart Card.

Tandem learning programme: We can pair you with a native speaker of the language you already know but wish to improve. Please be aware, though, that it may not always be possible to find you a partner!

How to Find Us

Course/General Enquiries: Language Centre Reception, Level 4, Old Library Building;
E-mail: language.centre@ncl.ac.uk; Telephone: 0191 222 7535; fax: 0191 222 5239;
Monday to Thursday 9.00 am to 4.45 pm
Fridays 9.00 am to 4.30 pm.

Open Access Centre: Level 2, Old Library Building
(entrance opposite the Armstrong Building);
E-mail: open.access@ncl.ac.uk;
Telephone: 0191 222 7490
Term time: Monday to Thursday 9.00 am to 8.00 pm
Friday 9.00 am to 5.00 pm
Vacations: Monday to Friday 9.00 am to 5.00 pm.

For detailed information on all aspects of our work check our website at: www.ncl.ac.uk/langcen

Students’ Union

Students’ Union Officers

The Union Society has a number of student officers who are elected each year by a cross-campus ballot in which all members can vote. The officers can offer advice and support on a range of issues.

There are six full-time Sabbatical Officers:

- Communications Officer 0191 239 3916
  e-mail: comm.union@ncl.ac.uk
- Welfare Officer 0191 239 3917
  e-mail: welfare.union@ncl.ac.uk
- Athletic Union Officer 0191 239 3923
  e-mail: au.union@ncl.ac.uk
- Education Officer 0191 239 3963
  e-mail: educ.union@ncl.ac.uk
- Finance and Administration Officer 0191 239 3964
  e-mail: fa.union@ncl.ac.uk
- Editor of the Courier 0191 239 3940
  e-mail: courier.news@ncl.ac.uk

There are various part-time officers:

- Women’s Officer 0191 239 3918
- Students with Disabilities Officer 0191 239 3918
- International Students Officer / Lesbian, Gay and Bisexual Officer 0191 239 3918
- Anti-Racism Officer 0191 239 3918
- Postgraduate and Mature Students (PGMS) Officer 0191 239 3918
- Societies Officer – No phone number or e-mail address. Message through General Office, AU & Societies Office
- Charities Officer 0191 239 3920
- Campaigns Officer 0191 239 3918
- Convenor of Disciplinary Committee 0191 239 3907 No phone number – e-mail only, message through General Office
- Chair of Union Council 0191 239 3907 No Phone number, as above
- Union Society Reception 0191 239 3900 (Not an officer)
Students’ Union Services

Newcastle University Union Society is one of the few unions in the country to own its own building. This has distinct advantages, not least the fact that it gives the management team more discretion to implement services generally wanted by the student membership.

There are a variety of food and bar outlets on all levels of the building providing salads, pizzas, stotties, full meals etc. The Union offers one of the largest and cheapest selections of foods in the city.

The Union offers a range of entertainment, with something to suit everyone. It hosts big name bands, at least two club nights a week, bar quizzes, karaoke and comedy nights. The Union also offers the opportunity to organize private parties, functions and conferences in the Union Building which offers the cheapest prices in town.

The Athletic Union offers a whole spectrum of sporting facilities and supports over 60 different clubs. The Athletic Union Officer can be found on the top floor of the Union Building. In addition, the Union funds 150 different societies, giving its members the chance to pursue their own interests, be they political, cultural or social.

The Union offers many other facilities including a shop that sells everything you might need from stationery to household products. There is a games room on the top floor with pool tables and video games, a print shop, an insurance company and a post office. The Student Job Shop is part of the Education Unit and can help you to find suitable part-time employment or vacation work. The Education Unit is also a source of academic advice and training for students, and the StuDIO area (Student Development Information & Opportunities) is the place to go to find out about the range of activities available outside of studies. The Union also houses a second-hand book shop, a hairdressers and the SCAN office which offers opportunities to participate in student volunteering within the community.

The Union Society Student Bus Service runs from 7.15 pm Monday to Friday during term time. It picks up at the Robinson Library, the Medical School and the Union, and runs until the Union closes. It costs just 50p and priority is given to lone female students.

Students’ Union Personal Accident Insurance

The students’ Union holds a group personal accident insurance policy which covers all members against injury sustained as the result of an accident during term time and when engaged on University or students’ Union activities during vacations within the United Kingdom. Students involved in accidents should consult an adviser at the Student Advice Centre to ascertain whether they are entitled to claim under this policy.

Nightline

If you need some information, advice or just a chat, Nightline is a confidential, non-judgemental telephone service offered by the Union Society. It runs from 8.00 pm to 8.00 am, telephone 0191 261 2905. The number is printed on the back of each student Smart Card.

Students’ Union Website

For more information about the Union Society and the services it offers, visit the website at: www.unionsociety.co.uk or E-mail: union.society@ ncl.ac.uk

Sport in the University

The Centre for Physical Recreation and Sport

The Centre for Physical Recreation and Sport is constantly adapting to change and the demands of its users to provide the highest standard of recreation and sports to its members. We cater for all abilities and interests, with no barriers to participation, based on our strategy of the sports continuum of foundation, participation, competition and excellence. Please take advantage of the service we offer. Do come to us with your comments and, above all, have a happy and healthy stay at the University of Newcastle upon Tyne. The payment of a Sports Centre Membership fee is a requirement for those who wish to use the facilities owned or hired by the University.

BENEFITS OF MEMBERSHIP

• use of the Health and Fitness Suite, Weights Room and Stretch and Tone Room**.
• access to indoor and outdoor facilities, free of charge**.
• access to Recreation Programme classes.
• discount on sports clothing and equipment at Just Sport.
• swimming at the City pool for 80p.
• access to the Sports Injury Clinic and Sports Massage Service.
• entitlement to Golf Club Membership — £21 per annum for students.
• Intra-Mural League and Cup competitions.
• opportunities for Personal Fitness Assessments and Personal Programmes.
  * There are additional membership charges for golf, swimming and the Health and Fitness Suite.
  ** There are a few exceptions for some bookings outside normal working hours.

ANNUAL BASIC MEMBERSHIP FEE (2003):

£26.50, including personal accident insurance.

PURCHASING SPORTS CENTRE MEMBERSHIP

Membership fees can be paid at King’s Walk and Claremont Sports Centres 8.30 am — 9.30 pm, Monday to Friday and on Saturday and Sunday 10.00 am — 4.00 pm (term time only). Students will need to bring their Smart Card with cash or a cheque for the appropriate amount.

Visit our website at: www.ncl.ac.uk/cprs
PART THREE

Personal Matters

The following sections are related to you as individuals and refer to a range of aspects of your life here, from taking care to protect yourself to advice about studying and making progress.

International students will find a wide range of information tailored to their needs whilst living and studying here.

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sources of Advice and Assistance for Postgraduate Research Students</td>
<td>18</td>
</tr>
<tr>
<td>Postgraduate Student Support Officer</td>
<td>18</td>
</tr>
<tr>
<td>Study Skills</td>
<td>19</td>
</tr>
<tr>
<td>Crime Prevention and Personal Safety</td>
<td>19</td>
</tr>
<tr>
<td>Information for International Students</td>
<td>22</td>
</tr>
<tr>
<td>Payments for Teaching and Demonstrating Duties</td>
<td>23</td>
</tr>
</tbody>
</table>
Sources of Advice and Assistance for Postgraduate Research Students

Your main supervisor should usually be the first person you turn to for help and advice on a personal basis, for example if you are encountering any difficulties in your study or in things which affect your study. Most difficulties can be easily resolved through your supervisor, though he or she may sometimes suggest that you contact one of the services described in Part Two of this Handbook for specialized information or support.

It is recognized that occasionally a research student may not feel able to approach a supervisor about a particular matter. If you are in such a position, you should discuss the matter with your head of school. If for some reason you do not feel able to discuss the difficulties with your supervisor or head of school, there are several sources of advice within the University including school (e.g. School Postgraduate Tutor), faculty (e.g. Dean of Postgraduate Studies or Graduate School Administrator) and University services (e.g. the Student Counselling Service, the Student Progress Section and the Union Society’s Student Advice Centre, all described in Part Two of this Handbook). Details about school and faculty support mechanisms are provided in Section Two and Section Three of this Handbook.

Each faculty has a Postgraduate Tutor who has considerable experience of postgraduate matters and who can offer impartial and confidential advice. The Postgraduate Tutor is independent of the structures within the faculty that deal with the academic progress of research students and can be consulted in confidence at any stage of your research.

The Postgraduate Tutors are:

- **Faculty of Science, Agriculture and Engineering**
  Professor M Goodfellow

- **Faculty of Humanities and Social Sciences**
  Not yet appointed

- **Faculty of Medicine**
  Dr J Kirby (M)

If you wish to make an appointment to see a Postgraduate Tutor, you should telephone the relevant Graduate School Office (details in Part Seven). Alternatively, contact the Student Progress Section (details in Part Seven). See Section Two of this Handbook (Faculty Information) for more sources of help and advice.

---

Postgraduate Student Support Officer

The Postgraduate Student Support Officer, based at 6 Kensington Terrace can provide:

- **Support and advice**
  - Information about anything you might need to know or need help with, from a simple question about University services, or funding, to practical or personal problems
  - A free and confidential service
  - A service during term time and vacations, by telephone, e-mail or by visiting the postgraduate student support website
  - Help and advice on a drop-in basis at specific times of the week, or by appointment
  - A method by which you can air concerns and problems about postgraduate study at the University. This information can then be disseminated throughout the University hierarchy in order to try to address the core issues.

The Postgraduate Student Support Officer is also involved in liaising with schools to set up mentoring schemes for postgraduate research students. This is only in the pilot stage at the moment but if your school is one of the ones involved then you will be notified by your school office.

Contact: Suzanne Devlin, Postgraduate Student Support Officer, Student Welfare Service,
Telephone: 0191 222 3599
E-mail: postgraduate-student-support@ncl.ac.uk

This project is part-funded by the Higher Education European Social Fund (HEESF)
Study Skills

University study requires each individual student to take significant responsibility for organizing their own work. Information and/or advice about study skills are available from a number of sources around the University. Some of these may prove helpful to you.

- In particular, you should attend what is offered on your Faculty Research Training programme (see the Faculty Section of this Handbook) as this has been compiled to provide generic skills expected of researchers in your field of study.
- The Robinson Library has a Study Skills section on Level 2, to the right of the issue desk. The section includes leaflets and books containing advice about improving your skills, and information on how to find additional resources.
- The Education Unit within the Union Society offers advice and occasional training sessions aimed at specific groups of students.
- The Dyslexia Tutor offers support for students with dyslexia. The Dyslexia Tutor is based in the Disability Support Service in the Robinson Library.
- The Language Centre (see Part Two) offers support with writing skills.
- Finally, Part Five of this Handbook offers comprehensive Guidelines for Research Students which include a range of suggestions for study.

In addition, many schools provide specific study skills advice within the curricula and offer students the opportunity of practising those skills in a subject-specific forum.

Crime Prevention and Personal Safety

- suitable prevention measures should be taken.

WORK INVOLVING HOME VISITS

Any work involving home visits should be risk assessed and subject to review. The following features need to be addressed.

- Plan to know the whereabouts of staff on home visits, with reporting arrangements.
- Identify and communicate within the school concerns about ‘high risk’ areas or individuals.
- Decide whether or not to drop ‘high risk’ areas or individuals, or to relocate the work elsewhere.
- Staff training.

LATE WORKING

Lighting the campus. The University is committed to providing adequate lighting on-campus, and has an inspection and maintenance procedure to do so.

Defects should be reported to the Customer Services Help Desk:
- extension 7171, between 8.45 am to 4.45 pm
- e-mail: defect-reports@ncl.ac.uk (this will be acknowledged).

The University Safety Policy states, ‘Schools should ensure that advice on personal safety is given to every individual who is likely to work late at night.’ (General staff guidance is in this Part of the Handbook.)

SAFETY WHEN DRIVING

There are positive aspects relating to cars and their contribution to your safety. They provide a controllable means of transport allowing you to decide your own travel arrangements: the time you leave, the route to take when you return and whom you journey with. If you feel threatened when driving, your car also provides physical protection as well as a means of escape.

The negative aspect of driving is that it may increase risks by creating situations where you become more vulnerable or isolated.

By raising your awareness of potential hazards, how to avoid them and what to do if they occur, this section is intended to make driving safer and you more confident about using the car.

The most fundamental way to reduce risk when driving is to ensure that your car will complete the journey you undertake.

Preparation

- Have your car regularly serviced.
- Carry out routine maintenance checks.
- Do not let small faults develop into large ones.
- Join a breakdown organization.
- Always ensure you have sufficient petrol.
- Plan your route.
- Keep items you may need in an emergency. These include: torch; blanket; warning triangle; jump leads.

Reduce the Risks

- Always let someone know where you are going, when you expect to arrive, and when you have reached your destination safely.
- Do not stop to give lifts to strangers, no matter how genuine they appear.
- If you think that you are being followed by the car behind, drive slowly to give them the opportunity to overtake. If they continue to follow, drive to a busy area, such as a petrol station, where you can stop and use your hazard warning lights.
- If another motorist attempts to make you stop by flashing their lights, and indicates a fault on your vehicle, acknowledge their signal but drive to a busy area where you feel confident.
- Keep doors locked when driving and keep any bags, car phone or valuables out of sight. If you have the window open, only wind it down a little so that it is not possible for anyone to reach in while you are stopped in traffic.
If your car develops problems, find a telephone. On motorways follow the marker arrows to the closest phone. They are never placed any more than a mile apart, on opposite sides of the motorway. Never cross the motorway to use a phone.

When telephoning for help tell the operator if you are alone woman.

While on the hard shoulder or telephoning, keep a sharp lookout and do not accept lifts from strangers – wait for the police or breakdown service. Do not wait in the car. Wait on the embankment nearby with the passenger door open. If someone approaches you, or you feel threatened, lock yourself in the car and speak to them through a small gap in the window.

Do not respond to harassment or bad driving, as this may contribute to a confrontation. Try to remain calm, without reacting. It is safer to drive away from potential trouble.

Do not stop for an apparent accident or emergency if you feel insecure, but drive to a telephone and inform the police.

Driving too close to the car in front could make it difficult for you to stop in time; keep your distance.

If you stop in a situation where you feel insecure, do not turn off your engine.

Parking Your Car
Take time to select where you park, remembering that when you return the area may be dark and lonely. For the sake of a little time, be safe.

Try to park underneath a street light, away from walls or bushes that a person might use to conceal themselves.

Remember the location, and if it is confusing make notes to assist you.

Before getting out of your car look around for potential danger.

Do not leave objects inside your car, especially objects that identify the owner as being a woman.

When returning to your car, assess the situation carefully. Study your car to see if it has been tampered with. If it has, avoid it.

Look inside the car before getting into it.

When approaching the car, have your key ready.

As soon as you get into the car, lock the doors before doing anything else.

Remember that a central locking system opens all doors.

Multi-storey car parks create certain risks. If possible park on the lower floor and as close to the lights or staircase as you can.

SAFETY WHEN TRAVELLING
PUBLIC TRANSPORT
As the term ‘public’ transport implies, you will be travelling openly and with others around. Potential attackers will be deterred by the presence of witnesses and the possibility that they may be recognized. Public transport is also well lit, and does not provide criminals with the means of a quick escape from the scene of any attack. There are, however, potential risks, as in any situation. Be aware that there may be some danger, take positive measures to avoid it, and you will feel more confident and comfortable with travel.

BUSES
- Time your arrival at the bus stop so that you will not have to wait long.
- Try to avoid bus stops that are poorly lit, or isolated.
- Sit as close as you can to the driver or conductor.
- If you feel vulnerable where you are sitting, change your seat as soon as the opportunity arises.
- Think about where you will get off the bus. Avoid isolated and poorly lit stops – they may mean a shorter walk, but it might be safer to use a longer, more secure route.
- On double-decker buses, sit on the lower deck if you can.

TRAINS
- Avoid using compartments that have no access to the rest of the train.
- If feeling threatened and isolated, pull the emergency cord.
- Tell the guard or conductor if you feel threatened in any way.
- Do not remain in your seat if you do not feel secure. Move away from any threat and do not wait for it to develop.
- Be aware of the possibility that your train may be delayed and that you may be late arriving at your destination. If this means you could be too late to catch the last bus, take enough money for a taxi fare.

TAXIS AND MINI-CABS
- Know the telephone number of a reputable cab company and carry this with you.
- Consider sharing a taxi with friend. Not only is it safer but it will be cheaper.
- Always sit in the rear of the cab.
- If you feel uncomfortable about the driver, stop at a busy area and get out.
- Never disclose any personal details about yourself, no matter how genuine the driver might appear.
- Before you get out, have your house keys ready.
- Do not be tempted to accept a cab that stops beside you without a booking, it may not be genuine.
- If female, many taxi companies have female drivers available if you ask.
- If faced with an attacker, for most people the ‘kick and run’ theory is probably of more practical use than standing up to the attacker.

SAFETY WHEN TRAVELLING ON FOOT
You can be vulnerable when walking alone – whether you are walking for pleasure, or walking from A to B. Many of the tips about making a car journey apply to journeys on foot. For instance, always let someone know where you are going, when you expect to arrive, and when you have reached your destination safely.

- When walking, avoid short cuts through dimly lit areas such as alleys, waste ground, or parks.
- Walk facing the traffic, so a car cannot pull up behind you unnoticed.
SAFETY WHEN CYCLING

- When not in use, always secure your bicycle to avoid theft. Make a note of the frame number.
- The bicycle should be post-coded with your home post code, for easy identification if stolen.
- When cycling avoid unlit areas and quiet roads.
- When on campus, use a designated cycle rack (if available) and use a good quality lock and chain.
- Always carry a repair kit.
- If you feel vulnerable because of an incident when cycling, report the matter to the University security staff or local police.
- Always wear a British Standards cycling helmet when cycling.
- Fit and use front and rear lights on your bicycle when dark, and wear brightly coloured clothing when cycling at night.

WORKING EARLY/LATE

- If you are aware that no-one else is working in the vicinity, advise security or a porter of your location.
- Always lock the door when you leave the room.
- If you regularly work alone at night consider having panic attack button fitted in the office.
- If you hear someone, do not confront them, lock the door and contact security on extension 6666, or from a pay phone call 222 6666. This will link you directly to the security control room staff and ensure that you get assistance as soon as possible.
- When leaving the office, keep to main corridors and let security know you are leaving the building.

If you are late leaving the University, it is wise to arrange a lift and if possible stay indoors until the vehicle arrives.

PERSONAL SAFETY AT HOME

- Use timers on internal lights when you are out, to give the impression that the accommodation is occupied.
- Do not let strangers into your room. If checking credentials by telephone, find out the number yourself, rather than use the one given to you.
- If you are expecting a caller you do not know well, invite a friend to be in the room.
- Never say you are alone when answering the telephone.
- Draw your curtains at night.
- Do not answer the telephone by repeating your number. Some malicious callers call at random.
- If you move into new accommodation change the locks – you do not know who has copies of the keys.
- Do not record your address on your key fob.
- When returning to your accommodation do not go in if it appears to have been tampered with.
- Go to a friend’s room and contact the police.
- If you are in bed and you hear someone, do not confront them. Turn on the lights and make a noise, and summon help to scare them away – most burglars will flee empty-handed rather than risk a confrontation.

MONEY AND PLASTIC CARDS

- Do not make it easy for pick-pockets. Carry your wallet in an inside pocket, preferably one which can fasten, not your back pocket. If someone bumps into you in a crowd, see if you still have your wallet or purse.
- Cash is a favourite target for thieves, so try to avoid carrying large amounts.
- Be alert to others around you when using cash dispensing machines, and do not let them identify your personal identification number (PIN).
- If you must use cash dispensers after dark, be alert to others around you, have a friend with you who can watch for suspicious strangers, or at least carry a personal attack alarm and be prepared to use it to alert others.
- If your credit card is stolen, tell the card company immediately. Keep the number handy. If you delay reporting the loss, it could lead to a crime being committed in your name, as a thief could make fraudulent use of your card.
- Never carry the personal identification number (PIN) with your cash-dispensing cards. Always memorize your number and never disclose it, not even to bank staff or close friends.
- Sign new plastic cards as soon as they arrive, and cut up old ones when they expire.
- If you are late leaving the University, it is wise to arrange a lift and if possible stay indoors until the vehicle arrives.

PERSONAL SAFETY AT HOME

- Use timers on internal lights when you are out, to give the impression that the accommodation is occupied.
- Do not let strangers into your room. If checking credentials by telephone, find out the number yourself, rather than use the one given to you.
- If you are expecting a caller you do not know well, invite a friend to be in the room.
- Never say you are alone when answering the telephone.
- Draw your curtains at night.
- Do not answer the telephone by repeating your number. Some malicious callers call at random.
- If you move into new accommodation change the locks – you do not know who has copies of the keys.
- Do not record your address on your key fob.
- When returning to your accommodation do not go in if it appears to have been tampered with.
- Go to a friend’s room and contact the police.
- If you are in bed and you hear someone, do not confront them. Turn on the lights and make a noise, and summon help to scare them away – most burglars will flee empty-handed rather than risk a confrontation.

MONEY AND PLASTIC CARDS

- Do not make it easy for pick-pockets. Carry your wallet in an inside pocket, preferably one which can fasten, not your back pocket. If someone bumps into you in a crowd, see if you still have your wallet or purse.
- Cash is a favourite target for thieves, so try to avoid carrying large amounts.
- Be alert to others around you when using cash dispensing machines, and do not let them identify your personal identification number (PIN).
- If you must use cash dispensers after dark, be alert to others around you, have a friend with you who can watch for suspicious strangers, or at least carry a personal attack alarm and be prepared to use it to alert others.
- If your credit card is stolen, tell the card company immediately. Keep the number handy. If you delay reporting the loss, it could lead to a crime being committed in your name, as a thief could make fraudulent use of your card.
- Never carry the personal identification number (PIN) with your cash-dispensing cards. Always memorize your number and never disclose it, not even to bank staff or close friends.
- Sign new plastic cards as soon as they arrive, and cut up old ones when they expire.
- If you are late leaving the University, it is wise to arrange a lift and if possible stay indoors until the vehicle arrives.

PERSONAL SAFETY AT HOME

- Use timers on internal lights when you are out, to give the impression that the accommodation is occupied.
- Do not let strangers into your room. If checking credentials by telephone, find out the number yourself, rather than use the one given to you.
- If you are expecting a caller you do not know well, invite a friend to be in the room.
- Never say you are alone when answering the telephone.
- Draw your curtains at night.
- Do not answer the telephone by repeating your number. Some malicious callers call at random.
- If you move into new accommodation change the locks – you do not know who has copies of the keys.
- Do not record your address on your key fob.
- When returning to your accommodation do not go in if it appears to have been tampered with.
- Go to a friend’s room and contact the police.
- If you are in bed and you hear someone, do not confront them. Turn on the lights and make a noise, and summon help to scare them away – most burglars will flee empty-handed rather than risk a confrontation.

MONEY AND PLASTIC CARDS

- Do not make it easy for pick-pockets. Carry your wallet in an inside pocket, preferably one which can fasten, not your back pocket. If someone bumps into you in a crowd, see if you still have your wallet or purse.
- Cash is a favourite target for thieves, so try to avoid carrying large amounts.
- Be alert to others around you when using cash dispensing machines, and do not let them identify your personal identification number (PIN).
- If you must use cash dispensers after dark, be alert to others around you, have a friend with you who can watch for suspicious strangers, or at least carry a personal attack alarm and be prepared to use it to alert others.
- If your credit card is stolen, tell the card company immediately. Keep the number handy. If you delay reporting the loss, it could lead to a crime being committed in your name, as a thief could make fraudulent use of your card.
- Never carry the personal identification number (PIN) with your cash-dispensing cards. Always memorize your number and never disclose it, not even to bank staff or close friends.
- Sign new plastic cards as soon as they arrive, and cut up old ones when they expire.
the sight of others. Never leave your handbag unattended, even for a minute, as you may find it missing on your return.

**EMERGENCY SERVICES**

**FIRE • POLICE • AMBULANCE**

External telephone emergency number: 9 – 999

Fire, police or ambulance emergency services can be contacted by dialling 9 – 999 on an external University telephone.

NB: for University residences please check local arrangements with the House Warden.

**University internal telephone emergency number: 6666.**

Alternatively fire, police or ambulance emergency services can be contacted 24 hours per day, seven days per week, on 6666 on any University internal telephone.

NB: for University residences please check local arrangements with the House Warden.

**COUNSELLING SERVICES**

During working hours, Monday to Friday, the Student Counselling Service can be contacted on extension 7699 or direct dial 0191 222 7699. Alternatively, the Student Nightline Service can be contacted nightly between the hours of 8.00 pm – 8.00 am on 0191 261 2904.

**UNIVERSITY SECURITY PERSONNEL**

University security can be contacted 24 hours per day, seven days per week, through the University internal telephone emergency number: 6666.

**NEAREST ACCIDENT HOSPITAL**

The nearest accident hospital to the University is the General Hospital, Newcastle upon Tyne.
Payments for Teaching and Demonstrating Duties

General Policy
Payments for teaching and demonstrating duties should be governed by the need for such teaching and the amount of finance that a school is able to allocate for this purpose.

Normally only full-time registered postgraduate students are eligible for these duties. Part-time postgraduate students should only be used for teaching and demonstrating where full-time students are not available.

It is University policy that the limited finance available for these duties be distributed as equitably as possible amongst those eligible and with appropriate ability and expertise. Heads of schools are expected to ensure that clear instructions regarding the duties to be performed, and adequate supervision, are provided.

Full-time postgraduate students may undertake paid duties in the University provided supervisors are consulted about the time devoted to such duties and that they do not contravene the terms of their studentships.

2003–04 Payment Rates
All postgraduate students involved in teaching and demonstrating duties must be given a copy of these notes so that they are aware of the ground rules and of the rates of payment. The rates for 2003–04 are:

<table>
<thead>
<tr>
<th></th>
<th>Hourly Rate</th>
<th>Holiday pay per hour worked</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Normal Duties</td>
<td>£10.65</td>
<td>£0.88</td>
<td>£11.53</td>
</tr>
<tr>
<td>For duties requiring more preparation</td>
<td>£19.26</td>
<td>£1.60</td>
<td>£20.86</td>
</tr>
</tbody>
</table>

Procedures for Payment
The Inland Revenue has insisted that the University pay all full-time and part-time postgraduate student demonstrators through the payroll system. All postgraduate demonstrators must therefore be issued with appointments by the Human Resources Section. In order to reduce the amount of administration required in schools a number of changes were introduced for 1999/2000 and revised in 2001/2002.

The procedures now being followed are:

i) At the commencement of the academic year each school will be invited to submit to Human Resources a list of those postgraduate students who are to be appointed as Postgraduate Demonstrators.

ii) The form TD1/02 needs to be completed for each student and signed by the head of school or an authorized nominee. Students will need to provide the details of their bank account for payment, as well as tax and National Insurance information and complete a P46 tax form if no P45 is available. This will enable complete records to be set up for payment without having to request further information from most students.

iii) Heads of school will also need to indicate the length of contract required, which should be for the duration of the studentship up to a maximum of three years. The appointment must not exceed the duration of the studentship but will remove the need for annual reappointment.

iv) Human Resources will issue a confirmatory letter of appointment to the student with a copy to the head of school for local records.

v) Payment will be triggered by monthly returns from schools to the Payroll Section of the Finance Office of the form TD4/02.

Forms TD1/02 and TD4/02 are available on the HR Intranet under www.ncl.ac.uk/internal/hr/td1.doc and www.ncl.ac.uk/internal/hr/td4.doc

Heads of school should note that if payments to a single individual rise above £385 in any one month during the tax year 2003–04 then liability for National Insurance payments on both the individual’s part (11 per cent) and that of the school (12.8 per cent) will be incurred as an additional charge to demonstrating payments. While students can either reclaim tax or gain tax exemption if their earnings fall below personal allowance levels, National Insurance payments cannot be reclaimed. To avoid this situation it is essential that payment is not left until the end of term as, if a block payment of say £390 was made, this would become liable for National Insurance payment by both the student and the school. However, if payments of £120, £120 and £150 were made during term time on a monthly basis no National Insurance would be paid. Heads of school should make enquiries concerning this exercise as follows:

- Teaching and demonstrating rates: Richard Burrow, Assistant Director of HR
- Human Resources procedures and contract matters: Faculty Human Resources Officer or Richard Burrow, Assistant Director of HR
- Financial payments, tax and national insurance: Bob Wilson, Assistant Director of Finance
- Funding of teaching and demonstrating: Faculty Head of Administration or Faculty Accountant
PART FIVE

Academic Matters

University Guidelines and Policies for Research

Here you will find Guidelines and Best Practice advice for research supervisors and research students. In addition to providing what is hoped to be comprehensive guidance, each section ends with an opportunity for Reviewing Practice for those who feel they may benefit from it.

All the Guidelines featured here are important and you are encouraged to look carefully at them.

All students and staff are asked to note that the University is currently reviewing all of the guidelines and good practice contained within this section. Changes will be fully implemented for 2004-05 academic year. Therefore, during 2003-04, it may be that some transition arrangements will be adopted by the school or graduate school. Details of the arrangements to which the University is aspiring are included in Code of Practice for Research Degree Programmes.

Content

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guidelines for Research Students</td>
<td>54</td>
</tr>
<tr>
<td>Guidelines for Supervisors of Research Students</td>
<td>55</td>
</tr>
<tr>
<td>Guidelines on Good Practice for Research Students 2003–4</td>
<td>57</td>
</tr>
<tr>
<td>Guidelines on Good Practice in Research Supervision 2003–4</td>
<td>68</td>
</tr>
<tr>
<td>University Handbook for Examiners of Research Degrees by Theses 2003–4</td>
<td>79</td>
</tr>
<tr>
<td>Code of Practice for Research Degree Programmes (draft as at July 2003)</td>
<td>84</td>
</tr>
<tr>
<td>Standards of Academic Conduct</td>
<td>90</td>
</tr>
<tr>
<td>Guidelines on External Funding – RIS Contributions</td>
<td>91</td>
</tr>
<tr>
<td>Advice for Collaborative Studentships</td>
<td>91</td>
</tr>
<tr>
<td>What to do when your research nears completion …</td>
<td>91</td>
</tr>
<tr>
<td>Code of Good Practice in Research</td>
<td>92</td>
</tr>
</tbody>
</table>
Guidelines for Research Students

1. These Guidelines describe the essential elements of student/supervisor, student/University relationships and detail the minimum requirements that a student will be expected to comply with during his/her programme of work.

2. At the commencement of your proposed programme of work you must have a detailed discussion with your supervisor. The details of this discussion will be recorded by your supervisor and a copy given to you. You should ensure that the meeting takes place and that following points are covered in the discussion:

(a) the scope of your proposed programme of work and an initial definition of the subject of study with particular emphasis on:

(i) the importance of completing the programme in the time available;

(ii) the standard of work that will be expected from you (you would be well advised to read successful theses available in the Library as a guide to what is expected);

(b) the overall timetable for the planning and completion of your programme of work, including any period of preliminary reading and the writing of the thesis;

(c) any programme of training and guidance in research methods;

(d) guidance about the use of literature, other sources of information, including other members of staff, and about attendance at appropriate courses and meetings of learned societies;

(e) good practice in relation to the storage and retention of research data;

(f) constraints, other than time, which may affect your programme of work, such as costs and the need to design and build equipment;

(g) a programme of regular meetings with your supervisor to monitor your progress and to review the details of the overall timetable for the programme of work;

(h) the submission of written work and/or the presentation of seminar papers while your research is in progress and the possibility of presenting work at meetings of learned societies and/or of submitting it for publication directly.

(i) if your studentship has any formal sponsorship you must discuss with your supervisor the terms and conditions relating to such sponsorship, and ensure that you understand them.

3. You will be expected to maintain regular contact with your supervisor, to seek his/her advice on the planning of your work and other matters including the use of suitable techniques. You will also be required to present written work as appropriate. It will also be your responsibility to raise any problems and difficulties you think should be drawn to the attention of your supervisor. This includes any factors – domestic, social, financial or health factors – which you believe may have an effect upon your progress.

4. If you are following a research programme which will take more than one year to complete (e.g. full-time PhD, any part-time research degree), you will during your first year of study be required by your supervisor to produce at least one substantial piece of work (e.g. literature review, experimental write-up), in order to help assess your ability to proceed successfully through the subsequent years of your programme. You may be required to make a presentation of this work to other staff and/or students.

5. At least once a term you will have a formal meeting with your supervisor to review progress at which he/she will record the details of your discussions. (You should retain a copy – see the record format given later). From time to time your supervisor may involve other members of the academic staff in a formal meeting.

6. Each year your supervisor will be required to submit an annual report on the progress of your programme of work. This report, which will take into account the review procedures detailed in paragraphs 4 and 5 above, will normally be completed by the end of the third term (Easter Term), if you are in your second or subsequent years of study; if you are in your first year the review procedure will take place during the summer months (usually in July or August). If you first register in any term other than Michaelmas Term, which begins in September, your supervisor will be required to report on your progress during your second term of study.

7. Each year you will also be required to submit an annual report on your progress. You will be provided with a standard form for this purpose, which will be despatched from the relevant graduate school office at the relevant time.

8. The Report Form you submit must normally be countersigned by your supervisor and head of school (but see paragraph 9 below). Together with the form submitted by your supervisor it will be passed for consideration and appropriate action to the relevant Dean of Postgraduate Studies. Should the Dean of Postgraduate Studies reach an unfavourable conclusion with respect to your progress on the basis of your supervisor’s annual report and a recommendation from the head of school, you will be informed in writing by the relevant graduate school office. Should your performance/progress be sufficiently unsatisfactory the Dean of Postgraduate Studies, at his or her discretion, may require you to discontinue your studies or change your registration.

9. If at any stage throughout the period of study you feel that the standard of supervision that you are receiving is inadequate or that you are unable to establish an effective working relationship with your supervisor, and it has not proved possible to resolve these difficulties in discussion with your supervisor/head of school, you should inform the relevant graduate school office. Should your performance/progress be sufficiently unsatisfactory the Dean of Postgraduate Studies, at his or her discretion, may require you to discontinue your studies or change your registration.

10. You are required to maintain high standards of academic conduct and, in particular, to avoid committing any misconduct or unethical behaviour in your research; such misconduct may include the fabrication of research results or plagiarism. (See the Standard of Academic Conduct and the Code of Good Practice in Research, later in this part of the Handbook.)

(a) 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.

(b) 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, research paper or electronic sources such as the internet. At the other extreme, plagiarism may occur accidentally, through poor standards of scholarship, or may concern insignificant parts of submitted work.

(c) You may be unclear as to what use may be made of the work of others in the field without raising concerns about plagiarism. If you are in doubt on this matter, you should consult your supervisor. In most cases, the adoption of appropriate standards of scholarship will avoid such concerns. The following general guidelines may assist you:
(i) passages copied verbatim from the work of another must be enclosed in quotation marks. A full reference to the original source must be provided. The substitution of a few words in an otherwise verbatim passage will not obviate the need to use quotation marks and to provide a full reference;

(ii) you must always give due acknowledgment to the sources of ideas or data which are not yours and are not truly in the public domain (for example, because they are novel or controversial) or are not widely accepted or widely recognized;

(iii) ideas and data which are your own or are truly in the public domain may be included without attribution, but should be expressed in your own words;

(iv) you must take care to distinguish between your own ideas or work and those of others. Any ambiguity in such a distinction could give rise to a suspicion of plagiarism;

(v) where your work is the result of collaborative research, you must take care to acknowledge the source of data, analysis or procedures which are not your own.

11. The retention of accurate and contemporaneous records of primary experimental data and results is of the utmost importance for the progress of academic enquiry. You should maintain these records in a form that will provide clear and unambiguous answers to questions concerning the validity of the data or the conduct of your work that might arise at a later date. Such questions can arise during the course of subsequent investigations by you, your colleagues, and others; accurate contemporaneous records are invaluable when this happens. In addition, errors detected following publication of experimental or other research results could be mistaken for misconduct if you cannot provide an accurate record of the primary data. It is important that you and your work should be protected from such misunderstanding.

The following guidelines will assist you in this regard.

(a) Records of primary experimental data and results should always be made using indelible materials. Pencils or other easily erasable materials must not be used. Where primary research data and results are recorded on audio or video tape (e.g. interviews) the tape housing should be labelled as set out in (d) below.

(b) Complete and accurate records of experimental data and results should be made on the day they are obtained and the date should be indicated clearly in the record. When possible, records should be made in a hard-backed, bound notebook in which the pages have been numbered consecutively.

(c) Pages should never be removed from notebooks containing records of research data. If any alterations are made to records at a later date they should be noted clearly as such and the date of the alteration should be indicated.

(d) Machine printouts, photographs, tapes and other such records should always be labelled with the date and with an identifying reference number. This reference number should be clearly recorded in the notebook referred to above, along with other relevant details, on the day the record is obtained. If possible, printouts, photographs, tapes and other such record should be affixed to the notebook. When this is not possible (eg for reasons of size or bulk), such records should be maintained in a secure location in the University for future reference. When a ‘hard copy’ of computer-generated primary data is not practicable, the data should be maintained in two separate locations within the University, on disk, tape or other format.

(e) When photographs and other such records have been affixed to the notebook, their removal at a later date for the purpose of preparing copies or figures for a thesis or other publication should be avoided. If likely to be needed, two copies of such records should be made on the day the record is generated. If this is not practicable, then the reason for removing the original copy and the date on which this is done should be recorded in the notebook, together with a replacement copy or the original if this can be re-affixed to the notebook.

(f) Custody of all original records of primary research data must be retained by the principal investigator, who will normally be the supervisor of the research group, laboratory or other forum in which the research is conducted. An investigator may make copies of the primary records for his or her own use, but the original records should not be removed from the custody of the principal investigator. The principal investigator is responsible for the preservation of these records for as long as there is any reasonable need to refer to them, and in any event for a minimum period of 10 years.

12. Your supervisor will advise you on the manuscript of your thesis in general and on content, presentation and organization. However, he/she will not act as proof reader. While he/she may read all or part of the first draft of the manuscript and offer advice, thereafter it is your responsibility to revise the manuscript and to decide when to submit the thesis.

Guidelines for Supervisors of Research Students

1. These Guidelines provide the broad framework of acceptable practice within which there are bound to be variations and diversity appropriate to different disciplines. Individual faculty documents may contain more detailed guidance but must be consistent with these Guidelines approved by Senate.

2. It is the responsibility of each head of school in consultation with the proposed supervisor to decide whether to recommend the admission of an applicant to undertake postgraduate research in his or her school. In reaching this decision the head of school should consider:

(a) whether the candidate is appropriately qualified for the proposed subject of study and whether adequate academic references have been received;

(b) whether the appropriate resources (e.g. library, computing, laboratory facilities, technical assistance) will be available;

(c) whether, on the information available, the subject of study is suitable for the degree for which the candidate is to be registered;

(d) whether it can reasonably be expected that the subject of study will be completed within the timescale prescribed;

(e) whether proper supervision can be provided and maintained throughout the research period;

(f) whether an appropriate programme of training and guidance in research methods can be offered to the candidate.

3. At the commencement of the proposed programme of work the supervisor must have a detailed discussion with the student. The details of this discussion should be recorded by the supervisor and a copy given to the student. It should normally cover:

(a) the scope of the proposed programme of work and an initial definition of the subject of study with particular emphasis on:

(i) the importance of completing the programme in the time available;

(ii) the standard of work expected (students should be referred to successful theses in the Library as a guide as to what is expected of them);
(b) the overall timetable for the planning and completion of the programme of work including any programme of training and guidance in research methods, any period of preliminary reading, and the writing of the thesis;

(c) guidance about the use of literature, other sources of information, including other members of staff, and about attendance at appropriate courses and meetings of learned societies. In particular, the student’s attention should be drawn to the statement in paragraph 10 of the Guidelines for Research Students concerning standards of academic conduct. Appropriate guidance should be given to enable the student to avoid any possible concern about plagiarism or the fabrication of research results;

(d) good practice in relation to the storage and retention of research data;

(e) constraints, other than time, which may affect the programme of work, such as costs and the need to design and build equipment;

(f) a programme of regular meetings between the supervisor and the student to monitor progress on the research and if appropriate to review the details of the overall timetable for the programme of work;

(g) the submission of written work and/or the presentation of seminar papers while the research is in progress and the possibility of presenting work at learned societies and/or submitting it for publication directly.

4. The supervisor should maintain regular contact with the student and should give advice on the planning of work and on other matters, including the use of suitable techniques. He/she should request written work as appropriate and make constructive comments on it. If the student is following a research programme which will take more than one year to complete (e.g. full-time PhD, any part-time research degree), the supervisor shall during the first year of study require the student to produce at least one substantial piece of work (e.g. literature review, experimental write-up), in order to help assess his/her ability to proceed successfully through the subsequent years of his/her research programme. The student may be required to make a presentation of this work to other staff and/or students.

5. The supervisor should keep a record of the student’s progress and at least once per term must hold a formal meeting with the student to review progress. The details of the meeting must be recorded. From time to time, the supervisor may wish to involve other members of the academic staff in a formal meeting with the student.

6. Each year the supervisor must submit an annual report on the progress of the student’s programme of work. This report, which should take into account the review procedures detailed in paragraphs 4 to 5 above, must be submitted on the University’s standard form for the ‘Supervisor’s Annual Report on Registered Postgraduate Research Students’. Annual Report forms for students in their second and subsequent years of study will normally be distributed by the relevant graduate school office during the Epiphany Term. Report Forms for first year students will normally be distributed during the Easter Term for return in the summer (in July or August). (For students who first register in any term other than the Michaelmas Term, Report Forms must be completed during their second term of study).

7. Each year the student shall also submit an annual report on his/her progress. The relevant form will be despatched from, and must be returned to, the relevant graduate school office, as appropriate.

8. Report forms submitted by supervisors must be countersigned by the student and the head of school (similar arrangements will apply to students’ report forms). They will be passed for consideration and appropriate action to the relevant Postgraduate Sub-Dean.

9. If at any stage throughout the period of study the supervisor feels that the progress of the student is unsatisfactory or that the standard of work generally is below that expected, he/she should inform the student by letter as well as orally and a copy of the letter should be sent to the relevant graduate school office and to the head of school concerned. The supervisor should discuss with the student what action should be taken to improve the position.

10. If a student’s progress/performance during the year has been sufficiently unsatisfactory, the head of school, in conjunction with the supervisor, may recommend to the appropriate Dean of Postgraduate Studies and/or faculty committee that the student either discontinue his/her studies or change his/her registration if this is possible and appropriate. If the committee approves such a recommendation the student will be informed in writing by the relevant graduate school office.

11. Where it becomes impossible for a school to continue to provide direct supervision – for example because of the departure of the only member of staff able to supervise a particular topic – the head of school should consider alternative arrangements in good time and inform the relevant graduate school office so that formal approval may be sought from the appropriate Postgraduate Sub-Dean and/or faculty committee.

12. The supervisor should advise on the manuscript of the thesis in general and on content, presentation and organization. He/she should not act as a proof reader and should make this clear to the student. He/she should read all of the first draft and thereafter continue to offer advice. It must be made clear to the student that it is his/her responsibility to revise the thesis manuscript and to decide when it is ready for submission.

NOTE ON HEALTH AND SAFETY

Supervisors are responsible for ensuring that students under their supervision follow the agreed University and, where appropriate, School, safety policy and procedures. Full details of the University’s safety policy are contained in a booklet on Health and Safety available in all schools.
Guidelines on Good Practice for Research Students 2003-4

Introduction

While the knowledge and skills that you gained as an undergraduate and/or in studying for a taught Master's degree have given you a background in your subject and perhaps some experience of and insight into the process of research, they may not necessarily have equipped you to successfully study for a research degree. As Salmon (1992: 51) has put it:

"Unlike a certificate, a diploma, a Bachelor's or a [taught] Master's degree, a [research degree] does not merely entail the consideration of already existing work within a pre-arranged structure but demands the creation of a personal project. To undertake [a research degree] is therefore to define oneself as having a contribution to make to the understanding of the area concerned."

In seeking to make that contribution, you will have the advice, encouragement and support of your supervisor(s), of academic colleagues in the field, and of your fellow postgraduates, but ultimately the responsibility is yours. You may have to create the project; you will certainly have to undertake the research; you have to write it up as a dissertation or thesis; you have to complete on time and submit; possibly in the case of a Master's degree, a research degree does not merely entail the consideration of already existing work within a pre-arranged structure but demands the creation of a personal project. To undertake [a research degree] is therefore to define oneself as having a contribution to make to the understanding of the area concerned."

The purpose of these Guidelines is to assist you to reflect on good practice in studying for a research degree. The Guidelines are not intended to be prescriptive or exhaustive, just to indicate what has been identified in the literature and elsewhere as good practice. But a number of the matters covered do relate to the University's requirements of its research students, which are formally set out in its Guidelines for Research Students, and it is essential that students read the latter as well.

The Guidelines attempt to set out good practice in:
1. establishing and maintaining a good relationship with your supervisor(s)
2. approaching a research degree
3. preparing for research
4. where appropriate, choosing a topic
5. producing an initial research proposal and plan
6. writing regularly
7. dealing with academic problems
8. dealing with non-academic problems
9. reviewing the progress of the research
10. framing your thesis
11. writing your thesis
12. preparing for examination
13. publishing, networking, and developing your career

1. Establishing and Maintaining a Good Relationship with Your Supervisor(s)

Your relationship with your supervisor(s) is crucial to the success of the research project, and you need to start it off well and maintain it over time. As Cryer (2001 p58) has put it:

"The relationship between a research student and a supervisor can be a precious thing. Supervisors and research students work closely together over a number of years. Mutual trust and respect should develop, along with a working relationship that can continue, as between equals, long after the completion of the research degree. It is in your own interests as a research student to develop and nurture this relationship. At the very least, only a highly unusual student successfully completes a research degree if the relationship with the supervisor is poor."

Starting off well involves, firstly, making an early appointment to see your supervisor(s) in the first few days after your arrival; secondly, being clear about your respective roles and responsibilities; and thirdly establishing ground rules to govern your future relationship.

Until you have met with your supervisor(s), it is not possible to even begin the preliminary work on the project. While it can sometimes seem that, with one, two, or three years stretching ahead, the matter is not urgent, in reality the time soon passes and it is vital to meet with your supervisor(s) as soon as possible.

At the meeting, your supervisor(s) will welcome you and, in many cases, devote at least some time to discussing your respective roles in the relationship so that you both know what to expect of each other. This is vital because, as Delamont et al. (1997, p 14) have put it:

"Relationships [between supervisors and students] have to be worked at and discussed, because most of the later problems stem from a failure to set out the expectations that both parties have for the relationship."

So what your supervisor(s) might do is to say that he or she or they will:

♦ where appropriate, help with the choice of a topic
♦ advise on sources for the literature search
♦ advise on methodology and/or methods
♦ facilitate data collection in terms of access or equipment
♦ discuss results
♦ read drafts on grounds of substance
♦ advise on progression and submission
♦ assist you to develop your career

But they will expect you to:

♦ undertake the actual research
♦ write or re-draft chapters
♦ proofread the thesis

In pointing out that it is up to you to do these things, supervisors are not being difficult; but realistic; a research degree is an award for successfully completing a personal research project, and for that to be the case you have to do the research, write it up, and make sure that the spelling, grammar, and punctuation are correct.

Particularly where research projects are multi-disciplinary and/or involve extended study outside the University, e.g. in industry, there may be two supervisors, one who is a member of the academic staff of the University, the other from the 'outside' institution in which the student will be studying. In such cases, the University requires that one supervisor should be the 'primary' supervisor, with overall responsibility for supervision, while the other is the 'secondary' supervisor. Normally in such cases there is a division of labour between the two supervisors, and it is important for the student to be
aware of who will 'lead' on which aspects of the research project.
As well as having clear expectations about your respective roles, it is also important that you and your supervisor(s) discuss ground rules for working together. These might be as below:

You agree to:
- turn up on time for supervisions and give as much notice as possible of cancellations
- be properly prepared for your supervisions
- write regularly and share the draft materials
- maintain the highest standards of academic conduct, as set out in paragraph 10 of the University’s Guidelines for Research Students
- maintain contact with your supervisor(s), particularly when studying outside the University
- undertake the tasks agreed to the best of your ability within the allotted time

Your research supervisor(s) agree to:
- hold regular supervisions and give as much notice as possible of cancellations
- read work submitted promptly
- give written feedback.

All of you agree to:
- treat supervision in a business-like way with an agenda
- keep records of supervisions detailing what was discussed, what targets were agreed, and when they were to be achieved by.

This should help to put your relationship on a firm professional footing, and create a basis upon which you can continue to relate over time.

Of course, as with any relationship, that with your supervisor has to be worked at and maintained over time. In the early days you are likely to be heavily dependent upon your supervisor as you begin to find your feet in research. Once you have found your feet, your supervisor will expect you to become more independent, and your relationship should develop into a dialogue in which you engage in academic debate on a basis of increasing equality. By the time you are nearing completion, you will come to know more about the work than your supervisor, but will still be dependent upon his or her expertise to advise whether the research project has reached the stage at which it should be submitted for the degree or whether further research and/or re-writing is required.

It happens that, occasionally, what should be the natural transition from dependence to relative independence doesn’t transpire, either because the student remains over-dependent upon the supervisor or the latter is unwilling to ‘let go’. Because of these possibilities, it is useful, over the course of a research degree, for you and your supervisor to discuss your evolving relationship at regular intervals. This gives the supervisor a chance to flag to you that they think that you are more than ready to spread your wings and fly alone, or you the chance to ask for more space to take the research in your preferred direction.

Very rarely, research students find that they are unable to work effectively with their supervisors, and the relationship is in danger of breaking down. Procedures for dealing with this eventuality are set out in Paragraph 9 of the University’s Guidelines for Research Students.

2. Approaching a Research Degree

In order to be awarded a research degree, you have to satisfy the examiners that you have fulfilled the requirements for that degree as laid down in the University’s regulations and as applied in your own subject. It is vital that, at the very start of your studentship, you are aware of what those requirements are to avoid latter errors. As one of the research students interviewed by Delamont et al. (1997 p 16) in their study of PhD students put the matter:

‘A lot of mistakes I’ve made are the result of not asking questions and people not putting me right. They presume I must know...I didn’t know the PhD was meant to be an argument...[that] it’s meant to say something. I thought it was one of those old-fashioned monographs, a collection of information. When I was an undergraduate I used to think a PhD was one of those articles you read in the journals, a 10,000 word article, I used to think they were PhDs.’

Clearly, if the student had clearly understood from the start what a PhD was, then these mistakes could have been avoided.

It is therefore worth spending some time looking at what will be the end product of your studies. Your starting point should be to unpack the University’s and, where appropriate, the faculty’s formal requirements for whatever research degree you are registered, and which are to be found in the Faculty Section of this Handbook. You should read these carefully and, preferably, discuss them with your supervisor so that you have a clear idea of what they mean.

While all research degrees have to meet the University and, where appropriate, the faculty’s requirements, they do this in very different ways, depending upon the discipline in which they are undertaken. It is therefore vital that you also have a clear understanding of what the relevant research dissertation or thesis in your discipline is like at the start of your studies.

Your supervisor should recommend you to go and look at a couple of theses in the same or cognate areas to your own, and you would be well-advised to do this and discuss key issues – for example in the case of PhD theses what made them original or how much of the thesis was publishable – in a supervision.

Reviewing Practice

Are you aware of the University and, where appropriate, the faculty’s requirements for the research degree for which you are registered? Do you know how these requirements are normally met in your subject? Have you discussed these matters with your supervisor?
3. Preparing for Research

Most new research students naturally perceive research to be as it is written up in articles and books, which portray it as a seamless unrolling of (for example), theory, hypothesis, method, data collection, data analysis, results, and conclusions. But the published account is only the visible part of the iceberg; beneath it lies the nine-tenths of blood, sweat, toil, and tears, including the ideas that were discarded, the investigations that ended up in blind alleys, the correlations that were in the wrong direction, the experiments that gave negative results, and sometimes the sheer fluke that led to the substantive advance. Research can, for much of the time, be a messy, difficult, and frustrating process as any researcher, including your supervisor, will tell you.

But you can minimize, if not eliminate, the frustrations of research by thorough preparation at the start of your studentship. In particular, you can ensure that you are familiar with the resources available to support your project, that you are familiar with the processes of research in your discipline, and that you are personally organized to undertake the project.

You need to be familiar with the resources available to support your research, both material and human. The former includes the library, centrally and locally-provided computing facilities, and any specialized equipment needed for your project; the latter includes academic staff and fellow researchers. As well as attending graduate school and, where appropriate, school training programmes and attending academic seminars, you will be provided with opportunities to attend induction sessions relating to all of these resources, and it is vital that you take advantage and make sure that you know what is available, how to access them, and how to use them in ways that are conducive to the health, safety, and welfare both of yourself and others. In the latter context, you should about read the University's Health and Safety Policy in Part Two of this Handbook and the relevant school health and safety policy and, if appropriate, discuss this with your supervisor.

You also need to be familiar with what is involved in the research process and how to plan and manage your time so that you can work efficiently and effectively. As well as attending graduate school and, where appropriate, school training programmes, you will also find it helpful to read through one or more of the general texts about research (see for example Cryer 2000; Leonard 2001; Phillips and Pugh 2000; Wisker 2001) or ones relating to specific disciplines of academic interest to you. These texts may be of particular interest to you if you have not spent much time in your discipline during your undergraduate studies.

With regard to time, as a full-time postgraduate research student you probably have more control over how you spend your time than at any other period in your working life. While this can be exhilarating, it can also, as Welsh (1979 p 33) said about their search for a topic:

\[
\text{...the whole thing seemed very daunting, you don't know where your niche is, or even if there is one for you.}
\]

In many cases, and particularly in engineering and the sciences, students are recruited to research a particular topic which has been pre-defined by the supervisor. But, occasionally in these fields and frequently in others, students are recruited on the basis of their interest in working in a broadly defined area of the subject, which has to be narrowed down sooner or later to a specific topic.

This can be a very difficult time for research students; as one of the research students interviewed by Delamont et al. (1997 p 27) said about their search for a topic:

\[
\text{...the whole thing seemed very daunting, you don't know where your niche is, or even if there is one for you.}
\]

So, you can spend valuable time searching for a niche and then, when you think that you have found one, the topic turns out to be far too ambitious. So you find yourself thrashing around in a seeming intellectual vacuum again, and so it goes on.

It is important to remember that this is by no means abnormal and that you should receive strong support at this stage from your supervisor(s). What he or she or they might do (or what you can do yourself) is to take an apparently promising project and subject it to the six key tests; (i) is it worth doing?; (ii) in principle, could it be done?; (iii) could it be done within the time available?; (iv) do you have, or could you acquire, the knowledge and skills to do it within that time?; (v) would it sustain your interest?; and (vi), if you did complete it successfully, would it meet the requirements for the research degree?

4. Choosing a Topic

With regard to research materials, this covers both data and results generated in the course of the research and sources such as books, articles, papers, and other theses. In terms of data and results, particularly in experimental research, it is of the utmost importance that these are recorded and maintained in such a way that they can vouch for the accuracy and authenticity of your research. You must read, and follow to the letter, the University's requirements for the retention and storage of data as set out in Section 11 of its Guidelines for Research Students.

In terms of other sources, it is important that you index and store them so that they are immediately accessible when needed – there is nothing more frustrating than being in full flow writing up a piece of work and then being unable to find the source for that seminal point which, you have just realized, will tie the chapter together. You should assume that anything that you read may well find its way into the dissertation or thesis, take full details of the reference (preferably in a database organized in terms of whichever referencing system you will use for the final work), and put any materials into a filing system with an index which makes it easy to retrieve.

Last, but not least, there is the obvious point that, where data and sources are stored electronically, they must be backed up with a second copy kept in another place. Research can be frustrating enough without losing weeks or sometimes months of work through failure to back up a file.

Reflecting on Practice

Are you fully aware of the range of resources available to support your research project? Have you developed the skills to use them effectively? Are you aware of health, safety and welfare policies? Do you understand from your faculty and or school training programme what is entailed in the research process in your subject? Are you managing your time effectively? Do you have adequate facilities for your research? Do your arrangements for retaining and storing data meet the University’s requirements? Have you organized your references and sources so that you can access them quickly? Do you regularly back up your work? Do you keep the copies in another place?

With regard to research materials, this covers both data and results generated in the course of the research and sources such as books, articles, papers, and other theses. In terms of data and results, particularly in experimental research, it is of the utmost importance that these are recorded and maintained in such a way that they can vouch for the accuracy and authenticity of your research. You must read, and follow to the letter, the University’s requirements for the retention and storage of data as set out in Section 11 of its Guidelines for Research Students.

In terms of other sources, it is important that you index and store them so that they are immediately accessible when needed – there is nothing more frustrating than being in full flow writing up a piece of work and then being unable to find the source for that seminal point which, you have just realized, will tie the chapter together. You should assume that anything that you read may well find its way into the dissertation or thesis, take full details of the reference (preferably in a database organized in terms of whichever referencing system you will use for the final work), and put any materials into a filing system with an index which makes it easy to retrieve.

Last, but not least, there is the obvious point that, where data and sources are stored electronically, they must be backed up with a second copy kept in another place. Research can be frustrating enough without losing weeks or sometimes months of work through failure to back up a file.

Reflecting on Practice

Are you fully aware of the range of resources available to support your research project? Have you developed the skills to use them effectively? Are you aware of health, safety and welfare policies? Do you understand from your faculty and or school training programme what is entailed in the research process in your subject? Are you managing your time effectively? Do you have adequate facilities for your research? Do your arrangements for retaining and storing data meet the University’s requirements? Have you organized your references and sources so that you can access them quickly? Do you regularly back up your work? Do you keep the copies in another place?
It may take several iterations before both you and your supervisor are confident that you have a topic which will meet these key tests, and which will give you a starting point for your research. It should, however, be noted that it is only a starting point; as the research develops it may change, and the final topic may be different from that with which you started out. This is by no means abnormal, but it is important, in consultation with your supervisor(s), to keep track of the evolution of the topic and ensure that the result will still pass the six tests.

Reflecting on Practice
Does your topic fulfil the six tests set out above? Have you discussed this with your supervisor? If it has changed, does the revised topic still meet the tests?

5. Producing an Initial Research Proposal and Plan
It is a requirement of the University (Guidelines for Research Students, Section 2) that research students should, in conjunction with their supervisors, produce and agree an initial research proposal and plan. In science and engineering subjects, this has usually been done previously as part of the bid for research funding, but this may not be the case in others. At their simplest, research proposals and plans set out what research students are proposing to do in their research projects, and when they are proposing to do it by.

With regard to an initial research proposal, a simple guide to drafting one might be to try and address the eight key questions of:

- What is the topic of my research?
- What have others written on this topic?
- Where appropriate, what conceptual/theoretical frameworks might be useful in approaching my research?
- What method or methods might be useful in undertaking that research?
- How could I go about designing the research?
- How could I collect my data?
- How could I analyse my data?
- How might my findings contribute to knowledge in this field?

In addition, there may be specific guidelines from your school and/or your supervisor(s) which should be followed in writing a research proposal. The draft proposal should then be shown to, and discussed with, your supervisor and amended in accordance with his or her comments.

With regard to an initial research plan, this involves unpacking what the tasks will be and assigning target time values to them which will enable you to complete on time. So, for example, for a three-year PhD in the social sciences, the initial research plan could be as below:

<table>
<thead>
<tr>
<th>Month</th>
<th>Research tasks</th>
<th>Writing tasks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Reading around for suitable topics</td>
<td>Mini-reports on identified topics</td>
</tr>
<tr>
<td>2</td>
<td>Narrowing down topics</td>
<td>Short-list of topics</td>
</tr>
<tr>
<td>3</td>
<td>Selecting a starting topic</td>
<td>Justification of topic</td>
</tr>
<tr>
<td>4</td>
<td>Reviewing literature</td>
<td>Outline research proposal and plan</td>
</tr>
<tr>
<td>5</td>
<td>Reviewing literature</td>
<td>Literature evaluation</td>
</tr>
<tr>
<td>6</td>
<td>Reading on concepts and methods</td>
<td>Outline research design</td>
</tr>
<tr>
<td>7</td>
<td>Deciding concepts and methods to be applied</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Preparation of pilot study</td>
<td>Evaluation of pilot study</td>
</tr>
<tr>
<td>9</td>
<td>Administration of pilot</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Preparation of main study</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Data collection</td>
<td>Progress reports</td>
</tr>
<tr>
<td>12</td>
<td>Data coding</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Data analysis</td>
<td>Progress reports</td>
</tr>
<tr>
<td>30</td>
<td>Data interpretation</td>
<td>Preliminary results</td>
</tr>
<tr>
<td>31</td>
<td>Reformulate knowledge</td>
<td>Preliminary conclusions</td>
</tr>
<tr>
<td>32</td>
<td></td>
<td></td>
</tr>
<tr>
<td>33</td>
<td></td>
<td></td>
</tr>
<tr>
<td>34</td>
<td>First draft of thesis</td>
<td>Revised draft of thesis</td>
</tr>
<tr>
<td>36</td>
<td>Submit</td>
<td></td>
</tr>
</tbody>
</table>

Once you have an initial research plan, then it is important to discuss it with your supervisor, check that it is realistic in terms of the allocation of time to task, and if necessary, amend it.

It should be stressed that, as with the topic, both the initial research proposal and the plan may well be subject to change over the course of the research as the focus perhaps changes as do activities and in consequence the timings. This is normal and not, in itself, a cause for concern – the proposal and the plan are intended as a flexible framework and not as a cage. But it is important that, at regular intervals during the research project, you and your supervisor review the proposal and the plan and update them to reflect the evolution of the research project. This should help you to keep track of where the project has been and where it is going and, most crucially, whether you may need to step up a gear to keep the project on time.

Reflecting on Practice
Have you, in conjunction with your supervisor, agreed an initial research proposal and a research plan? Do you review them regularly with a view to updating them and keeping the research project on track?
6. Writing Regularly
As you begin to make progress with your research, you should put pen to paper as soon as possible, for four reasons. Firstly, it enables you to keep a record of what you have done from the start to serve as a basis for later work. Secondly, it encourages you to reflect on what you have done so far and think about where you will go from here. Thirdly, it gives your supervisor the chance to see what has been done, and to advise you about how to proceed. This is crucial, and it is in fact a University requirement (Guidelines for Research Students, Para 4) that research students following programmes that will take more than one year of study should produce at least one substantial piece of written work in their first year. Fourthly, it gets you into the discipline of academic writing at an early stage rather than leaving it until later when it is more difficult to acquire.

But, in some cases, students are reluctant to produce written work. Research (see for example Graham and Grant 1997, Delamont et al. 1997; Murray 2002) suggests that there are two major factors which constrain research students from writing. One relates primarily to lack of experience of writing regularly at all, of producing longish pieces of work, or of producing academic writing with its demands of precision, clarity, organization and explicit structure. The other factor is confidence. Whereas, as undergraduates or postgraduates, students outlined and discussed the work of other people, as research students their writing becomes, or should become, a presentation of their own views, ideas, thoughts, etc. This can leave students feeling very exposed and, particularly if their standard is published work, very dissatisfied with what they have achieved. For these reasons, they may be psychologically reluctant to write.

One way of ensuring that you write regularly is, as Blaxter et al. (1996* pp 5-59) have suggested, to keep a research diary on a daily basis recording what you have done, time spent on it, analysis, and speculation. This gets you into the habit of writing regularly, recording, and reflecting, and can provide a useful basis upon which to construct longer pieces of work.

In constructing longer pieces, you can make what may seem a Herculean task more manageable by breaking it up into smaller ones. So, initially, you might write a one-page abstract of the chapter setting out its aim (purpose), content (what it would cover), and possible conclusions (what it would add). With that thought through and discussed, the next stage would be to write a synopsis fleshing out the abstract and setting out headings and sub-headings to be used. Then, with a framework established, you can to fill it in piece by piece until you have a draft chapter.

In order to improve your academic writing, you can read books on the subject (for example: Dunleavy 2003; Murray 2002), ask your supervisor for examples of such writing from the literature in the field, or even pair up with another research student who will undertake to read drafts and suggest improvements in return for similar support from you for their efforts.

In terms of overcoming psychological reluctance to write, you can, as Murray (2002) has suggested, ‘free-write’, i.e. write it down as it comes without any attempt to structure or present it for an academic audience. This takes the pressure off you and although, at the time, you may feel that it is worthless, you can be surprised to return to it later and find that it does take you forward.

Additionally, and provided that you warn him or her beforehand that it is a free-written draft, it can be useful to show it to your supervisor and gain some feedback. Supervisors are aware from their own experiences that virtually all research starts-off very rough-hewn and will allow for this, and of course most would prefer a ‘messy’ draft of a chapter from one of their research students rather than nothing at all.

It may be noted that, while writing is a necessary task for all research students, it is inherently a more difficult one for students whose first language is not English and who have perhaps been educated within different styles of academic discourse. Your supervisor may be able to assist by discussing example of writing with you, your faculty may offer a programme and, of course the University Language Centre runs regular courses on academic writing in English and offers a range of other forms of support.

7. Dealing with Academic Problems
While you can be well prepared for research, it is frequently the case that, at some point during the project, you experience academic problems of one kind or another. Common ones include:

♦ Drifting from the topic
As the research progresses, highways and byways of new exploration open up which just have to be investigated because they could be vital. So you become lost in the maze of possibilities and unable to establish where you should be at that stage of the project.

♦ Difficulties with the methodology/methods
Particularly in the arts and humanities and social science, the section of your thesis on methodology/methods can require you to grapple with a whole range of unfamiliar philosophical, theoretical, empirical and experimental problems, and it can be frustrating to try and identify, tackle, and resolve these, particularly when you are really itching to undertake the substantive research.

♦ Problems with the substantive research
You can expect a range of problems to occur as you undertake the substantive research – evidence that you can’t obtain as easily as you hoped, experiments that don’t work, apparently promising lines of enquiry which turn out to be dead ends, simulations which don’t run properly – the list is endless.

♦ Drowning in data
You collect masses and masses of data, start playing around with them, and find all sorts of interesting things that can be investigated in and around the topic and then even outside it. As a result, you are unable to discriminate between what to concentrate upon in your research project and what to leave out.

♦ Unexpected results
With the substantive research accomplished, you find results which you did not expect – the evidence which is contradictory, the experiments which yield negative results, the cast-iron assumptions which are apparently falsified, the simulation results which defy predictions, variables which behave badly etc. etc.

If you hit problems of these kinds or others, it is important that you are not afraid to admit, not least to yourself, that you are in difficulties. Research students tend to have previously sailed easily through undergraduate and taught postgraduate programmes and it can, to say the least, be a shock to be brought shuddering to a halt while engaging in research. Students may find it hard to admit this for reasons which Atkins (1996* p 2) has termed ‘Top Gun’ syndrome whereby: ‘...students are seen...as the best and the brightest. Significant academic achievement has led them to their current place. They are thus unable to admit faults or shortcomings for fear of ‘showing themselves up’ in the...academic community. It becomes better to struggle on with barely a clue about what is going on than to admit...that one does not know what is happening.’
If you have problems, you should acknowledge them secure in the recognition that this happens at one time or another to all researchers as well, i.e. it is all part and parcel of doing research.

In terms of resolving problems, you might start by trying to think through how you can overcome them yourself. If you feel that you are drifting aimlessly in terms of the topic, you might re-visit your research proposal and plan and re-assert the initial focus of the research; if methodology is a problem, look at other books or theses in the area for models of how to proceed; if one avenue of the substantive research has been blocked off, look for another; if you are drowning in data again go back to the research proposal and plan to re-focus the analysis; for unexpected results, see if there is a substantive explanation – many important contributions to knowledge have come from the explanation of apparent inconsistencies.

You may also wish to consider sharing the problem with a fellow-research student, particularly perhaps one who is further on in his or her studies and who may be able to offer advice on the basis of their own experience. Some graduate schools encourage such a collective approach to problem solving by pairing research students so that they can support each other. Alternatively, if you are part of a research group, it may be that one of your colleagues can assist.

You should, of course, ask for assistance from your supervisor. As an experienced researcher, he or she will be familiar with the problems of research both generally and in the specific subject area and should at least be able to help you to think through the problem and to suggest ways in which you might go about resolving it.

8. Dealing with Non-Academic Problems

As well as experiencing academic problems of one kind or another, research students may also experience a range of non-academic problems arising from their situation. Three common ones are self-doubt, isolation, and boredom.

You may, particularly in the early stages of a research degree, experience bouts of self-doubt. These can arise from the situation of a research student; as one of the respondents to Delamont et al’s (1997; p27) survey put the matter: ‘...you are suspended between a student who just absorbs things and an academic who produces [them], and that [leads to] all kinds of paranoias or neuroses.’

Self-doubt often takes the form of anxiety about whether you will be able to successfully make the transition from being primarily an absorber of to contributor to knowledge, and it can be associated with a reluctance to write or at least to submit written work to your supervisor(s) in case it is ‘not good enough’. It is worth noting that such self-doubt is not uncommon, and that dealing with it is part and parcel of the experience of being a research student. In terms of how to deal with it, the key thing is to write – no matter how mundane you think that the piece or chapter is – and show the work to your supervisor(s).

While you are, of course, bound up in the research, and are often unable to judge the contribution that you are making – in time even the most original insights come to seem commonplace to their creators – your supervisor has a greater degree of objectivity. He or she is far better placed to ascertain how you are progressing, and to offer guidance and support for your work.

As well as self-doubt, one of the most consistent findings of the literature on research students over the past three decades (see for example: Becher 1994 143; Cryer 2000; Delamont et al. 1997; Leonard 2001; Phillips and Pugh 2000; Rudd 1975; Rudd 1985) is that research students can feel isolated.

At school and as undergraduates or postgraduates on taught programmes, you study a common syllabus in the company of your peers. But, as a postgraduate research student, unless you are work on a group project or in a large and active research school, you find yourself working on your own project and often without the company of others. This can lead to intellectual isolation – you are the only one in the world working on this topic – and social isolation at the workplace as you plod away on your own in the library or the laboratory. Here, Cryer’s (2000 p41) advice is pertinent: ‘...you should put effort into warding off isolation. You need to be on the constant lookout for people who both know enough about your field to be able to discuss it meaningfully and have the time to do so. You may find such people in your family, your social group, or in your department... However, if you have to go outside into a national or an international arena, so be it. Overcoming isolation or potential isolation must be a major objective for all research students.’

A third common feature of the life of the postgraduate student which has been identified in the literature (see Phillips and Pugh, 2000, pp 77-78) is the tendency towards boredom. This tends to happen when you are well into your research, and have reached a stage where, as Cryer (2000 p171) puts it, ‘your work genuinely is excessively routine and monotonous’. So, you’re churning it out day after day, and you become bored with the whole thing and ripe for distractions which will take your mind.

There is no simple neat solution to this problem – if you want to complete your research, you may be beneficial to either do something else (write or re-write an earlier chapter) or even take a short break and then come back to it with a fresher mind. But, if you contemplate a break, do ask your supervisor and agree with him or her to stick to a defined time – there are many ex-research students who took a breather from their studies and then procrastinated about returning until it was far too late.

While these, of course, are non-academic problems arising out of being a research student, you may encounter other difficulties of a personal, social, and financial character that have a bearing upon your research. You should certainly alert your supervisor, who is your personal tutor, to any such difficulties that you may be experiencing, or if you feel this is inappropriate, then you also have access to the full range of graduate school and University support services outlined in Part Two of this Handbook.

9. Reviewing the Progress of the Research

One of the key tasks of research students is to review the progress of their research. This involves variously self-review, formal reviews with supervisors, and participating in school, graduate school and University review procedures.

Research students are under considerable pressure variously from sponsors, bank managers, the University, and schools to complete their degrees within the allotted time. Your chances of completing on time or as near as possible will be significantly enhanced if you treat the research as a project and actively manage it to meet the deadline. The skills that you need to do this may well be imparted in your research training programme or, if not, you can consult one of the texts, e.g. (Cryer 2000; Graham and Grant 1997; Phillips and Pugh...
Either way, you should find that one of the critical recommendations is that you should treat your research plan not as an exercise to be completed at the start of the studentship and then filed away, but as a ‘live’ document to be reviewed and updated frequently and regularly over the duration of the project. You should, then, consult it regularly; update it in the light of your progress to date; consider the implications for the completion of the research; and, as far as possible, act to keep the project on track. It may be noted that such self-review will not only help you to finish your research degree as soon as possible, but also enhance your project management skills and your attractiveness to employers (see Part Two).

As well as self-reviewing, the University requires (Guidelines for Research Students, Para 5) that you also formally review your progress with your supervisor(s) at least once per term, i.e. three times per year. It is important that you treat these supervisions in a businesslike way as an opportunity to discuss the progress of your research with your supervisor(s) and that you keep a record of what was discussed and what action points were identified.

One way of doing this is to use a pro-forma such as the one below, which will provide a record of the supervision.

<table>
<thead>
<tr>
<th>Pro-forma for Supervision Meetings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student __________________________</td>
</tr>
<tr>
<td>Supervisor(s) ____________________</td>
</tr>
<tr>
<td>Date of Meeting: __________________</td>
</tr>
<tr>
<td>Duration _________________________</td>
</tr>
<tr>
<td>Targets set at previous meeting</td>
</tr>
<tr>
<td>Progress towards achieving those targets</td>
</tr>
<tr>
<td>Implications for the research timetable</td>
</tr>
<tr>
<td>Targets to be achieved by next meeting</td>
</tr>
<tr>
<td>Actions required by supervisors</td>
</tr>
<tr>
<td>Actions required by students</td>
</tr>
<tr>
<td>Signatures ________________________</td>
</tr>
<tr>
<td>__________________ (Student)</td>
</tr>
<tr>
<td>__________________ (Supervisor(s))</td>
</tr>
</tbody>
</table>

As well as student and supervisor review, graduate schools also have formal review procedures, usually involving the submission and/or presentation of pieces of work at specified intervals. It is worth noting that, while these review procedures are intended to assure the graduate school that your progress is satisfactory, they are also intended to be helpful to you. They give you the opportunity to gain feedback on your work from senior researchers in your graduate school. In some cases, reviews involve presentations and/or mini-vivas, for which training is usually provided. These reviews also offer the opportunity for you to improve your skills and, in the case of PhD students in particular, gain valuable practice for the oral examination.

Finally on reviewing, it is currently a University requirement that you submit an annual report on your progress (Guidelines for Research Students, Paragraph 7). This must normally be countersigned by your supervisor(s) and your head of school. In addition, if you feel that there are serious matters which it is not appropriate to discuss with the above, there is a separate form which offers the opportunity for you to raise them confidentially with the Student Progress Section.

Reflecting on Practice

Do you have a strategy for personally reviewing the progress of your research project at regular intervals? Do you approach supervisions to review your progress in a business-like way? What review procedures are there in your school and/or faculty?

10. Framing Your Thesis

After spending the best part of one, two or three years of your life training to do research and then undertaking the actual research for your project, you are then faced with what is the last major task of producing your thesis. This task is absolutely crucial because, as Cryer (2000 p177) has put it:

‘The thesis is the culmination of [the] research student’s entire research programme, and it is on the thesis that he or she will be examined and judged.’

This, of course, raises the question of ‘what is a thesis?’ While there is no objective definition of a thesis and there are variations between what is expected in different disciplines, one common factor is, as Barnes cited Blaxter et al. (1996 p27) has put it, that:

‘A [thesis] is far more than a passive record of your research and generally involves presenting an argument or point of view. In other words, it must say something and be substantiated with reasoned argument and evidence.’

So, producing your thesis involves more than throwing everything you have done into the pot and hoping for the best; it has to involve a case or point of view and be substantiated with reasoned argument and evidence.

This can be difficult to do because, to put it at its simplest, often we cannot see the wood (the thesis) for the trees (the mass of writings and materials we have accumulated over the course of the research). So, in order to produce a thesis, we need to know the shape of the wood, i.e. a framework for our thesis.

There are many ways of developing a framework for your thesis, and it is worth consulting your supervisor about suitable approaches. One possibility suggested in the literature (see for example Cryer 2000; Taylor 2002) is for you to think of yourself as an explorer who has undertaken a journey and who is writing a guidebook. As the author of the guidebook, you need to explain:

- where you started from
- what other guidebooks you read
- why you decided to undertake the journey
- how you decided to approach the journey
- the route you decided to follow
- for the PhD/MD, the original discoveries you made on the way
- where you arrived at the end of the journey
- how it differed from the starting point
- where you would go from here in future.

You can literally map this on a couple of sides of paper, and then re-trace the journey. At each stage you need to ask the questions; What is it vital to say to take the reader on to the next stage?; What it is important but not vital?; What is neither important nor vital? By this process, if necessary repeated several times, you should be able to distil the essence of the thesis (the vital) and separate it from the important and the relatively unimportant.

With, hopefully, a stripped-down and clear route, you can then begin to fill in each stage of the journey in terms of key topics which you have to address, which you use to flesh out your

map. You can then apply the same tests as above - are they vital, important, or neither - and go through a similar iterative process. Then, within the topics, this can be repeated with sub-topics until, eventually, you have a complete map of the thesis.

Such an approach has a number of advantages. Firstly, it gives you an overall framework for your thesis; secondly, it divides the writing into manageable tasks; thirdly, and vitally, it can be discussed with your supervisor(s) before writing up; fourthly it highlights the key things you need to bring out in terms of discoveries (originality), added knowledge and understanding (the differences between the start and end point), and future research in the area (where we go from here); and finally may translate into the structure for a thesis. So, for example, in the case of many PhDs, the translation is:

<table>
<thead>
<tr>
<th>'Journey'</th>
<th>Thesis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Starting point</td>
<td>Introduction</td>
</tr>
<tr>
<td>Guidebooks</td>
<td>Literature review</td>
</tr>
<tr>
<td>Reasons</td>
<td>Trigger</td>
</tr>
<tr>
<td>Approach</td>
<td>Methodology</td>
</tr>
<tr>
<td>Route and discoveries</td>
<td>Substantive research chapters</td>
</tr>
<tr>
<td>Arrival</td>
<td>Analysis and results</td>
</tr>
<tr>
<td>Differences</td>
<td>Added knowledge</td>
</tr>
<tr>
<td>Future</td>
<td>Directions of research</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reflecting on Practice</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>What are the requirements for a thesis in your discipline? How can you establish a framework to organize your research into a thesis?</td>
<td></td>
</tr>
</tbody>
</table>

11. Writing Your Thesis

Once you have established a basic framework, you still, of course, have to write the thesis. Here the three key issues to consider are: who am I writing for? (audience); how do I actually go about writing it? (drafting); how do I make sure that it reads well? (presentation).

A research thesis, like any other piece of writing, is a form of communication, and it is necessary to consider in advance the audience that you are addressing and how you might meet their needs. Here, Cryer (2000 p 178) has some good advice: ‘The crucially important audience for theses are external examiners. Think of them as individuals who are exceptionally busy and grossly underpaid and who therefore have to read theses quickly. They will expect them to be well-structured and to be argued coherently to make the case for certain solutions to specific research problems. Irrelevancies will irritate, as will having to tease out meaning that research students should have extracted themselves. Think of them also as individuals who are very able and experienced in the general area, which means that the background material should be as concise as is consistent with showing that it is known.

‘However, no external examiner can be an expert in your work. By the time you finalise your thesis, you and you alone are the world’s expert. So the aspects that make your work significant and original and worthy of a PhD... need to be argued coherently: each step needs to be spelled out, the outcomes must be stated unambiguously, and all their implications identified and discussed in depth.’

So, for your examiners, the thesis needs to be (i) well-structured (ii) argued coherently (iii) relevant (iv) concise in the literature review (v) expansive and detailed on areas in which the thesis makes a significant and original contribution to knowledge. Clearly (i) to (iv) above apply to all research degrees, while (v) applies particularly to the PhD/MD.

(i) and (iii) above clearly have a bearing on what you write; (ii) has a bearing on what you include when you write, and (iv) and (v) have a bearing on the proportion of the thesis taken up by each heading. So, for example for PhD/MD, you should certainly not aim for half of your thesis to be taken up by the literature review, a further quarter by the methodology, and only a quarter for the original scholarship.

What it can be useful to do is to produce a rough distribution of how much should be devoted to what part of the thesis. Such a distribution, produced by the University of Warwick as a guideline for PhD students (cited Blaxter et al. 1996* p 217) are set out below:

<table>
<thead>
<tr>
<th>% of thesis</th>
<th>Introduction</th>
<th>Literature review</th>
<th>Methodology</th>
<th>Research findings</th>
<th>Discussion</th>
<th>Conclusions</th>
<th>Bibliography</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td></td>
<td>20</td>
<td>15</td>
<td>20</td>
<td>20</td>
<td>5</td>
<td>10</td>
</tr>
</tbody>
</table>

While the percentages may vary in different cases, it is crucial to plan them with the needs of the audience in mind.

With the needs of your audience in mind, it is then possible to proceed to drafting. One of the (few) common factors in the research degree experience is that it almost always takes far longer to write up the thesis than had been planned. The reason for this is that, when we finally write up, we have finished the substance of the project and now have, or should have, the benefit of hindsight, which leads us to change, amend and reorder the draft. While this is an entirely legitimate and valuable part of a research degree – it is in fact learning from what we have done – it can result in considerable delays in producing a first rough draft.

You should then review this yourself. Here it can be very useful to look at the Handbook for the Examiners of Research Degrees – the part of this Handbook which sets out the criteria which they will apply to your thesis. You should apply these then, if necessary, re-draft the thesis and ask your supervisor(s) for comments. Following that, you should re-draft in the light of their comments, review it again yourself, and so the cycle continues until a final draft emerges.

As well as meeting requirements for the substance of the research degree, it is also vital that the draft is well-presented, for two reasons. Firstly, while good presentation cannot rescue a poor thesis, it may help a marginal one, i.e. the examiners may be inclined to take a more charitable view if the thesis is easily readable and, as far as possible, error-free. Secondly, inadequacies in expression and errors in spelling and grammar are one of the most common reasons for the referral of theses, i.e. for these being accepted subject to minor corrections. It can be extremely galling to have to spend a month or two correcting elementary mistakes and errors, not just to you but to your supervisor who will be landed with the task of checking that your errors have been corrected before the degree can be awarded. So it is important that you get this right before you go further.

You should:

- ensure that you have expressed yourself as clearly and concisely as possible (reading out loud can often help to identify over-long sentences and unnecessary padding)
- check the grammar and the spelling (it is your responsibility to do this and not that of your supervisor)
- check that you have the right words (spell checkers can tell you whether the word is spelled correctly but not if it is the right word in the first place)
- check the footnotes/endnotes, quotations, citations etc. both in the text and in the bibliography (remember, your examiners will check a sample)
Given that many of us can be blind to our own deficiencies and errors, it can be very helpful to ask a friend with some expertise in the area to comment on the comprehensibility of the draft and to also ask him or her to check it for errors. With this done, it is back to your supervisor for a final re-read and, hopefully, the green light to go ahead and submit the thesis for examination. If your supervisor still has reservations, you can still submit—ultimately it is your decision—but you would be well advised to consider this very carefully for fear of falling at the final fence.

Assuming that you decide to submit, before actually doing so you should check the University’s regulations about submission. Usually, you are required to give notice of submission, and you may have to conform to a range of stylistic regulations, e.g. concerning page margins and layout, as well as provide an abstract, a contents page, and meet any other requirements, including a count of the number of words. Only when you are satisfied on this score can you print off copies to be bound and submitted to your examiners.

Reviewing Practice

Are you clear about the audience for which you are writing? Have you decided upon an appropriate balance between the lengths of the various parts of the thesis? Have you reviewed your thesis using the Handbook for Examiners? Has your supervisor seen the draft? Have you taken their comments on board? Have you asked their advice about submission? Have you checked the University’s regulations about giving notice of submission? Have you checked the University’s requirements in terms of the submission of theses?

12. Preparing for Examination

Following submission of the final title of the thesis, examiners are appointed, normally one internal and one external examiner. In the case of Master’s research degrees, the process of examination normally involves the assessment of the dissertation or thesis by the examiners but, in the case of the MPhil, it may involve an oral examination. In the case of the PhD/MD, University regulations require an oral examination, i.e. a viva.

Vivas are comparatively rare in undergraduate and taught postgraduate programmes; in most Universities they are only held if there is some doubt about the class of degree to be awarded, although in some they are mandatory for the award of a First.

But, of course, vivas are compulsory for the award of the PhD/MD. The implication of this is, of course, that candidates starting PhDs/MDs often have little or no experience of oral examinations. While they gain some by defending their work at progress reviews, this is still a far cry from the full rigour of a formal oral examination.

This might be of little consequence if, as in many other European countries, the viva was a public affair and they could go along and experience what happened. However, the British viva rarely gives access to people other than the examiners. Again, this might not matter if there were published guidelines for the viva, but this is not always the case. So, as Burnhan (1997 p 30) has put it ‘...what occurs in the lengthy “judgelly huddle” from which postgraduates emerge either victorious or distraught is a mystery’.

In consequence, as Delamont et al. (1997 p 148) have written:

‘The [PhD] student may well fear and dread the [viva] examination.

Even when the student is outstandingly competent, and however excellent the thesis may be, the process of examination is a stressful one... most [candidates] feel worried by the indeterminacy of [the viva].’

However you can prepare for your viva in six main ways.

Firstly, it is important to understand what vivas are about, i.e. their purposes, procedures, and outcomes. These are explained in detail in the University’s Handbook for Examiners of Research Degrees which is set out in this part of this Handbook. You will find it helpful to discuss these with your supervisor.

Secondly, you need, of course, to be thoroughly familiar with your thesis. While this may seem strange since you wrote it, it is amazing how quickly you can forget what you have written, and you do need to re-read it. Often, you will find typos and other errors you have missed earlier—if so, list them and take them with you to the viva to show your examiners that you are aware of them.

Thirdly, you need to keep up to date with the literature in your area in the hiatus between submission and the viva. If a key paper comes out during that period, your examiners may ask you about it and about any implications for your work, and it obviously creates a good impression if you are aware of it.

Fourthly, as well as being prepared for questions concerning new literature, it can also be useful to anticipate the sorts of questions you might be asked and at least think about how you will answer them. There are some fairly obvious general ones (e.g. ‘Why did you do this topic?’ ‘Why did you study here?’ ‘What would have done differently if you were doing the research now?’ ‘What do you think of the implications of your work are for the future?’) for which you can prepare.

Fifthly, you can ask your supervisor to arrange a mock viva in which colleagues who are experienced in examining question you on key parts of the thesis and afterwards give you feedback upon your performance. Such an opportunity, which a number of faculties provide as part of their progress monitoring procedures, is invaluable in enabling students to prepare themselves both intellectually and psychologically for what is to come.

Finally, on the day itself, you need to be prepared for the experience. You should go to the viva as well-rested and fed as possible, and appropriately attired—it is a formal occasion so you need to be well-dressed but as you will be sitting down for a couple of hours and possibly more you need to feel comfortable as well.

You should take with you:

- a copy of your thesis (preferably loose-bound so you can find pages quickly)
- pen and paper if you need to jot questions down or possibly draw diagrams
- where appropriate, a list of corrections
- copies of any original results, print-outs, or raw data which may be helpful in substantiating key points made in the thesis

Following Cryer (2000 p 197), you should:

- be composed when you enter the room
- sit squarely on the chair, not on the edge
- ask for anything not to your liking in the room to be changed, e.g. your seat moved out of sunlight
- wait for questions to be asked of you by the examiners
- show that you are listening attentively
- ask for clarification if questions are unclear
- take whatever time you need to answer them
- defend your thesis without becoming wholly defensive, i.e. be prepared if necessary to concede points
- be scholarly in your approach, i.e. give answers weighing the pros and cons before reaching balanced conclusions

When the examiners have finished their questions, they may well ask if there is anything you wish to say; this is an opportunity for you to clarify or expand upon any answer which you felt did not do you justice, or raise any other matters concerning the examination.
At the end of the viva, the Chair should ask you to leave while the examiners deliberate, and afterwards you will normally be called back in to be informed of the examiners' recommendation.

In many cases, the recommendation will be to award the degree subject to making minor corrections (usually spelling and grammar) to the satisfaction of your supervisor. In others, it will be award subject to making minor revisions within six months, and in a few making major ones within twelve months. While these recommendations may be disappointing, it is important to remember that the examiners' expectation is still that you will eventually pass, and they are required to specify what you need to do to make the grade. Other outcomes, i.e. the award of a lower research degree or a fail, are mercifully rare. But, if this does happen and you have reason to believe that this relates to unfairness in the examination procedure, you have a right to appeal, and details of the University's appeals procedure are set out in Part Six of this Handbook.

But, in the vast majority of cases, you should only need to do one thing after the viva — celebrate.

### Reviewing Practice

Have you found out about the process of examination from the Handbook for Examiners of Research Degrees? Have you prepared adequately in advance for your viva? Have you prepared for the day itself?

### 13. Publishing, Networking, and Developing Your Career

There are three other areas of good practice for research students, namely publishing, networking, and developing your career.

If at all possible, you should try and publish work during your studentship; this can help to mark out your academic territory, bring you into contact with others in the field, boost your self-esteem — it is a coup to be published when still a graduate student — and provide a better platform for employment, particularly in the research field inside or outside the universities. Your supervisor should be able to advise you about whether your work should be published and, if so, how to go about it.

Also, you should consciously network within the academic and/or professional community relating to your field. Academia is heavily dependent upon networking informally and formally, in the latter case through professional associations and conferences. You should try and establish your own informal networks, and participate in the professional ones, e.g. the postgraduate sections of professional associations. Such networking will bring you into contact with others in the same field, help to prevent isolation, offer you opportunities to attend conferences and give papers, and finally enable you to acquire skills which will stand you in good stead in your career, inside or outside academia (see for example Blaxter et al. 1998* pp 55-77). Again, your supervisor can help with contacts and advise on professional association memberships, etc.

Last, but by no means least, you should, from the beginning of your research studentship, be conscious of the need to develop skills and plan for your future career. Your primary objective as a research student is, of course, to gain a research degree, and this will be valuable in seeking employment. But, in today's labour market, you also need to have the key — transferable — skills which are demanded by employers.

You can learn about the skills demanded by employers by, as early as possible in your studentship, attending training and development events organized by the University's Careers Service. The latter has also produced a list of such skills (see www.careers.ncl.ac.uk/students/frames/employFrame.html) which can be used as a benchmark against which you can develop them over the course of your programme.

So, at the start of your programme, you should look at the list and see which skills you have acquired already and which you will need to acquire over the remainder of your studentship. You should then check out which of these skills you will acquire in the course of your research training programme — they should be listed in the programme handbook — and discuss with your supervisor the other skills that you will acquire by undertaking your research. You should then audit your skills and identify any gaps — a common one for research students particularly in the humanities and social sciences is team-working — and make plans to fill them.

Your supervisor will be of assistance in this regard, as will the postgraduate adviser in the Careers Service.

While all of the key skills are important, it is worth highlighting the acquisition of one in particular, namely effective oral presentation skills. Such skills are vital in the academic context (a number of graduate schools ask research students to make oral presentations as part of their procedures for progression and of course you need them to make presentations to seminars and conferences) and for employment in virtually any field. You should take every opportunity to develop these skills through your graduate school training programme, by reading the relevant literature (e.g. Cryer 2000) and by asking your supervisor or other colleagues to listen to a mini-presentation and give you feedback.

As well as actually acquiring skills for employment, you also need to be able to document their acquisition. In some graduate schools, this process has been formalised by the introduction of Personal Development Records whereby students are required to record the acquisition of skills and present the records as evidence of satisfactory progress. In others it is up to the student to keep a record, which can be done by creating a portfolio based upon how you meet the Careers Service list. Either way, if you can demonstrate to employers that you have acquired the appropriate skills, this will greatly enhance your chances of gaining the good job which you deserve for all of the work and effort you have put in over the course of your research degree.

### Reviewing Practice

Have you discussed possible opportunities for publications with your supervisor? Have you taken steps to establish informal networks in your subject community? Have you joined the relevant subject associations? Have you attended Careers Service events on career planning and development? Have you reviewed your skills against the University's template? Have you made efforts to fill any gaps?

Have you documented the skills you can offer to prospective employers?

### Conclusions

Research degrees are unique in so far as, rather than working within a pre-established framework, you have to often create and always undertake and manage a project to its conclusion. This is not an easy task but, in so far as your research will advance and/or contribute to the sum of knowledge and understanding in your subject, a worthwhile one. Hopefully these Guidelines have helped to unpack what you need to do to successfully gain a research degree, given you indicators of good practice, and assisted you to reflect upon your effectiveness as a research student.

### Acknowledgements

This Handbook has been authored by Dr Stan Taylor of the Academic Quality and Standards Section. The author would particularly like to acknowledge the contributions of Prof Madeleine Atkins, Mrs Katherine Hind, and Dr Paul Christensen.
References

Atkins, D. (1996*). A Student Perspective, Supervision of Research Students: Centre for Educational Development and Academic Methods, ANU.


Newcastle University (1992) Guidelines for Supervisors of Research Students

Newcastle University (1992) Guidelines for Research Students


Guidelines on Good Practice in Research Supervision 2003-4

Introduction

Research supervision has been characterized by Brown and Atkins (1988, p 115) as

‘...probably the most complex and subtle form of teaching in which we engage. It is not enough for us to be competent researchers ourselves – although this is vital. We need to be able to reflect upon research practices and analyse the knowledge techniques and methods which make them effective. But there is a step even beyond this. We have to be skilled in enabling our research students to acquire those techniques and methods themselves without stultifying or warping their own intellectual development. In short, to be an effective research supervisor, you need to be an effective researcher and an effective supervisor.’

As a member of the academic staff at Newcastle, you will be an effective researcher; the aim of these Guidelines is to assist you to reflect on good practice in supervising research students. The Guidelines are not intended to be prescriptive nor exhaustive, just to indicate what, within the literature, has been identified as good practice. But some of the matters covered do relate to University requirements, and this document should be read in conjunction with the University’s Guidelines for the Supervisors of Research Students, which sets out the formal framework for research supervision.

The Guidelines attempt to set out good practice in relation to fifteen key components of research supervision, namely:

1. establishing and maintaining a professional relationship with the student
2. helping to induct them into research
3. where appropriate, assisting with the choice of a topic
4. where appropriate, helping them devise a research proposal and plan
5. supporting the initial stages of the research project
6. encouraging students to write
7. assisting with academic problems with the research
8. assisting with personal and social problems affecting the research
9. giving feedback and reviewing the progress of the research project
10. monitoring the progress of the research
11. advising on drafts of the thesis
12. advising on submission
13. assisting on preparation for examination
14. assisting with career development, networking, and publication
15. working with co-supervisors

1. Establishing and Maintaining a Professional Relationship with the Research Student

The relationship between a supervisor and a research student is a professional one, and it is vital that it is started off on an appropriate footing. As Delamont et al. (1997, p 14) have put it:

‘You need to sort out a good working relationship with your supervisee. Relationships have to be worked at and discussed, because most of the later problems stem from a failure to set out the expectations both parties have for the relationship. A few supervisions devoted to discussing the best ways to work together will not be wasted.’

One way to do this is to establish, implicitly or explicitly, an agreement between the supervisor and the student setting out expectations of each other, as in the example below.

<table>
<thead>
<tr>
<th>The research student agrees to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>♦ turn up on time for supervisions and give as much</td>
</tr>
<tr>
<td>notice as possible of cancellations</td>
</tr>
<tr>
<td>♦ be properly prepared</td>
</tr>
<tr>
<td>♦ write regularly and share the draft materials</td>
</tr>
<tr>
<td>♦ maintain the highest standards of academic conduct,</td>
</tr>
<tr>
<td>as set out in paragraph 10 of the University’s</td>
</tr>
<tr>
<td>Guidelines for Research Students</td>
</tr>
<tr>
<td>♦ maintain contact</td>
</tr>
<tr>
<td>♦ undertake the tasks agreed to the best of their</td>
</tr>
<tr>
<td>ability within the allotted time</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>The research supervisor agrees to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>♦ hold regular supervisions and give as much notice</td>
</tr>
<tr>
<td>as possible of cancellations</td>
</tr>
<tr>
<td>♦ read work submitted promptly</td>
</tr>
<tr>
<td>♦ give written feedback</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Both agree to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>♦ treat supervision in a business-like way with an</td>
</tr>
<tr>
<td>agenda</td>
</tr>
<tr>
<td>♦ keep records of supervisions detailing what was</td>
</tr>
<tr>
<td>discussed, what targets were agreed, and when they</td>
</tr>
<tr>
<td>were to be achieved by.</td>
</tr>
</tbody>
</table>

Supervisors may wish to go further than this and indicate more precisely what they can or cannot do to assist the student. So, the supervisor may say that he or she will:

♦ help with the choice of a topic
♦ advise on sources for the literature search
♦ advise on methodology
♦ facilitate data collection in terms of access or equipment
♦ discuss results
♦ read drafts on grounds of substance
♦ advise on submission

But he or she will not:

♦ undertake the actual research
♦ write or re-draft chapters
♦ ‘proof’ the thesis
At this stage also, you may wish to make it clear in what circumstances you would or would not expect credit to be given in any publications arising from the research.

While this process of establishing a professional relationship is important for all students, it may be particularly helpful to international students, who may have culturally defined notions of what they can expect from their supervisor. As Ryan (2000, p. 69) has put it:

‘...international students...are likely to expect a hierarchical relationship with their supervisor where the supervisor exercises tight control over the research. Many international students will expect their supervisor to take the initiative and adopt a role close to being a guide and/or parent. They may expect the supervisor to make major contributions towards the research and the thesis. They will be expecting clear direction and guidance from their supervisors, whom they will hold in great esteem, and they often have very high expectations of the relationship.’

In such cases, it can be useful to spend some time discussing student’s expectations of the role of the supervisor and of what you can offer in order to clarify the relationship. Such discussions should emphasise the additional support available to international students in the early stages of their research (see below) as well as the need for them to take the initiative in undertaking and completing the research project.

By these means, clear expectations should be established for what is to come at the start of the research. But, as with any relationship, the supervisor-supervisee one changes, or should change, over time. Ideally, it should start as a master/mistress-apprentice relationship and end up as almost equal colleagues.

Clearly, this implies a process of development over the course of the supervision from the supervisor playing a directive role and setting tasks for the student to do at the start towards encouraging the student to become an autonomous researcher and increasingly recognizing their capacity to make an independent contribution to knowledge and understanding in the subject. However, as Cryer (2000, pp 5-7) has pointed out, this does not happen automatically. Students may need to be weaned away from dependence upon their supervisors, while the latter may need to adjust to the idea of the student abandoning the nest and beginning to fly on their own. So, it is important for supervisors to periodically check where the balance lies, whether it is appropriate for this stage of the research, and if not what can be done to correct it.

2. Inducting Students into Research

Many students coming through to research will have undertaken short research projects either as undergraduates or as postgraduates, and will be required to undertake a training in research during their first year of study. There is also now a substantial literature on undertaking a research degree to which students can be directed, of which recent examples are Cryer (2000), Leonard (2001), Phillips and Pugh (2000), and Wisker (2001). However, while previous experience and the literature yield insights into research, they may not prepare students for it fully, in five respects.

Firstly, students are often still not fully aware of what they are letting themselves in for, i.e. a research degree. Again, the point is well made by one of the PhD students interviewed by Delamont et al. (1997, p 16):

‘A lot of mistakes I’ve made are the result of not asking questions and people not putting me right. They presume I must know...I didn’t know the PhD was meant to be an argument...[that] it’s meant to say something. I thought it was one of those old-fashioned monographs, a collection of information. When I was an undergraduate I used to think a PhD was one of those articles you read in the journals, a 10,000 word article, I used to think they were PhDs.’

Clearly, if the student’s supervisor had explained what a PhD was, pointed the student in the direction of a few successful theses (see University Guidelines for Supervisors of Research Students 3(a) (ii)), and discussed why the successful theses were successful, the mistakes which marred the student’s experience could have been avoided.

The second way in which students may be unprepared for research stems from the way in which it is written up in books and papers in journals, namely as a seamless progression from initial idea to an addition to knowledge and understanding. But what is published is only the visible part of the iceberg; the other nine-tenths – the ideas that were discarded, the investigations that ended up in blind alleys, the correlations that were in the wrong direction, the experiments that gave negative results, the sheer fluke that led to the substantive advance – rarely see the light of day. So it is scarcely surprising that many students expect their research to progress without incident and, when it does not, blame themselves.

Here, the supervisor has a key role in forewarning and forearming. This may take the form of directing students towards accounts of research as it really happened, pairing them with students further down the line to discuss the problems they had experienced, or even self-disclosure by the supervisor. What can be useful is for a supervisor to keep all of the materials relating to a particular research project from first scribes to final paper, and take the student through the process, disasters as well as triumphs. Such exercises can prepare them for what is to come, and can have the added bonus of demonstrating how to go about problem-solving in your subject.

Thirdly, students may not be aware or fully aware of what is entailed in maintaining the highest standards of academic conduct in undertaking their research, in particular with regard to the fabrication of results or plagiarism. A few minutes spent discussing Section 10 of the University’s Guidelines for Research Students with the student can be helpful, and it is recommended that this be done in the comparable Guidelines for Supervisors (3(c)).

Fourthly, the Guidelines for Supervisors (3(d)) also recommend that supervisors spend some time at the start of the project discussing the ethical aspects of research and data with their students. Failure to store and retain data can, at worst, mean that experiments etc have to be replicated, at best that progress is halted until missing data is eventually found. In this context, it can also be useful to encourage students right from the start to take full references for everything that they read in such a form that they can be easily transferred to the text or the bibliography of their thesis. Again, this can save many hours hunting for page numbers etc. at the writing-up stage.

Fifthly, the University (Guidelines for Supervisors, p 3) makes supervisors responsible for ensuring that research students follow agreed University and, where appropriate, school health and safety policies and procedures, and these should also form part of the student’s induction into research.

Again, on international students, it is worth quoting Ryan, (2000, p 73) :

‘A common problem is that supervisors assume too much of student’s research knowledge. But some international students will have very little knowledge of how to conduct research.’

Supervisors might consider going through one of the texts described above (e.g. Cryer 2000) with international students, and devising mini-research projects designed to enhance their experience of research.

Reflecting on Practice

What methods do you use to establish a professional relationship with the student at the start of the programme? What is the appropriate balance between dependence and independence over the course of the programme? How often do you review that balance? What can you do if it is wrong?
3. Assisting with the Choice of a Topic

In many cases, and particularly in engineering and the sciences, students are often recruited to research a particular topic which has been pre-defined by the supervisor (see e.g. Delamont et al. (2000), Becher et al. (1994)). But, particularly in the arts, humanities and social sciences, students are recruited on the basis of their interest in working in a broadly defined area of the subject, which has to be narrowed down sooner or later to a specific topic.

Bright students who have sailed through their previous careers with effortless brilliance may have unrealistic expectations of what they can achieve in their research degrees.

These can often be adjusted by asking them to look through the titles of MPhils or PhDs in their subjects which illustrate the narrowness of most (if not all) research topics. But even when they have abandoned seeking a cure for the common cold or a fundamental change in our interpretation of civilisation and adopted a more realistic project, they will still need help and guidance.

Moses (1992, pp 11-12) has characterized the process of selecting a topic as involving the five stages of (i) determining a general area of interest (ii) critically reviewing the literature (iii) identifying potential ‘triggers’ for projects (iv) evaluating their suitability, and (v) choosing at least a starting topic.

While the general area of interest should be known, supervisors can assist students by disclosure – talking through their own experiences – and/or exercises designed to model the rest of the process. Students can be asked to read (say) a review article (which can provide valuable training in critical evaluation) and asked to identify a couple of possible ‘triggers’ for research projects.

A supervision can then be devoted to discussing the key questions relating to suitability. Is this topic worth doing?; how, in principle, could it be done?; could it be done within the time available?; what additional knowledge and skills would be required to tackle it?; would it sustain interest?; if completed, how might it meet the requirements for the award? With, of course, Research Council sanctions on subjects with which will, at least, form a focus for starting the research.

with
doing
when they should be aiming to do it by. For these reasons, the University’s Guidelines for Supervisors (3(a)) strongly recommend that supervisors should work with students to produce a research proposal and a plan.

With regard to the research proposal, graduate schools may have guidelines for writing a research proposal, or supervisors may be left to come up with their own. The latter can consist of a fairly simple series of questions to be answered by the student. For example: What is the topic?; Why is it important?; What have others written on it?; What would the research seek to add?; What method or methods would be useful in undertaking the research?; How could the research be designed?; How will data be collected?; How will it be analysed?; How, in principle, might results add to knowledge and understanding in this field? It may be noted that, whether the guidelines are institutional or supplied by the supervisor, it is still useful to show students a good research proposal and take them through it step by step so that they have a clear exemplar to follow.

With regard to planning the research, in principle it seems simple enough to plot the tasks identified in the research proposal against time. In practice, of course, it is extremely difficult to predict in advance even approximately how long things are going to take, particularly if students have limited research experience, and the results can be over-optimistic to say the least.

Here, the supervisor can help students to appreciate the pitfalls of planning a research project. One method for doing this has been developed by Delamont et al. (1997). Students are given Gantt charts for research projects in their subject area, which deliberately over-represent the time to be allotted for some aspects of the research process and under-represent the time needed for others. They are then asked to consider the realism or otherwise of these projections, to discuss them, and to re-plan the research. This technique can be extremely effective in stimulating students to think about the relationship between time and task and in enabling them to plan their own research.

If, by these means, students can be assisted by supervisors to produce research proposals and research plans, the supervisor has at least one other key responsibility, namely to encourage students to frequently revisit and update both. Research topics can change markedly over the course of a project, and research plans need to be modified in response to this and other factors. Indeed, it can be beneficial to periodically devote a supervision to discussing and updating the research proposal and the research plan so that both supervisor and student are clear about where the research has got to, and what needs to be done to complete it.

4. Producing an Initial Research Proposal and Plan

Again, and particularly in science and engineering, many research students are recruited to implement research proposals which have already been planned and scheduled. But, where the project is not pre-determined and planned for them, students need to actively manage their research projects. Otherwise, they can drift for months during the first year of research, and this is a major cause of drop out and also of non-completion within three or four years. Given the financial pressures on students – particularly international ones funded only for the stated duration of the programme – and of course Research Council sanctions on subjects with low completion rates within three or four years (see e.g. Joint et al. 2002), it is vital that they are clear about what they are doing and when they should be aiming to do it by. For these reasons, the University’s Guidelines for Supervisors (3(a)) strongly recommend that supervisors should work with students to produce a research proposal and a plan.

Reflecting on Practice

Do you ascertain at the start of the programme what the student knows about the degree they are about to embark upon? How to you make them aware? How do you alert the student to the trials and tribulations of research that can international students have an adequate induction into research?

Reflecting on Practice

Do you provide students with a framework for choosing a topic? Would disclosure of your own experiences be helpful? Can you identify review papers in your subject which could be used to generate topics for exercises?

5. Supporting the Initial Stages of the Research Project

Again in science and engineering, students may be able to step into ready-made research projects. But, in disciplines where students have created their own research project, they are then faced with the detailed preparatory work on the literature, the methodology, and the design of the research.

All of these can pose serious problems for students at the start of their projects. On the literature, students may need help in finding it if they are not familiar with the location of sources in the field, with learning how to read it critically, with note-taking, and with referencing. On methodology, there are established and relatively less contested approaches in many engineering and science subjects, but in the arts and social sciences in particular students are faced with a range of different potential approaches and may have to grapple with a range of difficult
philosophical, theoretical, and empirical matters. In virtually all subjects, designing a major research project is a difficult exercise for the uninitiated, with each potential design associated with opportunities and limitations which can have profound implications for outcomes.

Such matters are dealt with in general through graduate school research training programmes, and it is clearly important for supervisors to be aware of the content of these in ascertaining the support needs of their students. If graduate school programmes do not cover these matters, then supervisors may have to point students in the direction of other courses or modules available within the institution or provide a programme of study.

But even if they do cover them, the supervisor still has a role to play in relating general features of literature evaluation, methodology, and research design to the student's topic. For example, setting an exercise for students to find a key reference in their field, produce a critical review, evidence it from their notes, and cite sources correctly, can help them to evaluate the literature; pointing students in the direction of good discussions of methodologies in books, theses and papers in their topic area can assist with the adoption of a methodology; and asking for short briefing papers on the advantages and disadvantages of different designs can provide a basis for discussion and clarification of the options.

By these means, students can be supported through what can be the very difficult initial stages of their research project. The avoidance of mistakes at this early stage, e.g. in the design of the research, can save much time and grief further down the line.

### Reflecting on Practice

Is there a training programme for research students in your graduate school or faculty? Does it fully support the student to acquire the necessary knowledge and skills in terms of evaluation of the literature, methodology and research design? How can you assist the student to acquire these in the context of their project?

### 6. Encouraging Students to Write

As students begin to make progress with their projects, they need to be encouraged to put pen to paper as soon as possible, for four reasons. Firstly, it enables them to keep records of what they have done from the start to serve as a basis for later work. Secondly, it encourages them to reflect on what they have done so far and think about where they will go from here. Thirdly, it gives the supervisor the chance to see what has been done, and to advise them about how to proceed. Fourthly, it gets students into the discipline of academic writing at an early stage rather than leaving it until later when it is more difficult to acquire.

But, as most experienced supervisors will testify, students are frequently extremely reluctant to produce written work. Research (see e.g. Murray 2002) suggests that there are two major factors which constrain research students from writing. One relates primarily to lack of experience of writing regularly at all, of producing lengthy pieces of work, or of producing academic writing with its demands of precision, clarity, organization and explicit structure. The other factor is confidence. Whereas, as undergraduates or postgraduates on taught programmes, students outlined and discussed the work of other people, as research students their writing becomes, or should become, a presentation of their own views, ideas, thoughts, etc. This can leave students feeling very exposed and, particularly if their standard is published work, very dissatisfied with what they have achieved. For these reasons, they may be psychologically reluctant to write.

Supervisors can help students overcome these problems in a number of ways. With regard to writing regularly, Blaxter et al. (1996, pp 59-57) suggest that students should be encouraged to keep a research diary on a daily basis recording what they have done, time spent on it, analysis, and speculation. This gets students into the habit of writing regularly, recording, and reflecting, and gives them a basis upon which to construct larger pieces of work.

With regard to writing longer pieces, supervisors can help students to make the task more manageable. So, initially, they might request a one-page abstract of the chapter setting out its aim (purpose), content (what it would cover), and possible conclusions (what it would say). With that thought through and discussed, the next stage would be to ask for a synopsis fleshing out the abstract and setting out headings and sub-headings to be used. Then students can be encouraged to fill in the framework piece by piece until they have a draft chapter.

With regard to academic writing, students can be variously referred to books on the subject (e.g. Dunleavy (2003), Murray (2002)), given examples of such writing from the literature in their field, or even paired with a mentor in the form of a student further on with their research who will undertake to read drafts and suggest improvements.

In terms of overcoming psychological reluctance to write, supervisors can, as Murray (2002) has suggested, reduce anxiety levels by giving the student explicit permission to submit a ‘messy’ draft for comment on the understanding that it will be treated as a first stab and not as the definitive submission. Further, it can be worth pointing out to students that virtually all contributions to knowledge and understanding start off as fairly rough-hewn stones which are then polished usually by several sets of hands before they become the perfect gems of publications. As suggested earlier, the message can be reinforced by showing students earlier drafts of supervisors’ own papers.

Again, here it is worth considering the particular problems faced by non native speakers of English. To quote Ryan (2000, p 74):

> ‘Many international postgraduate students will have had very little experience in any kind of extended writing, and may have previously only been required to take lecture notes. They may therefore resort to an oral style, or may use writing styles that are favoured in their own country. [For example]. The use of proverbs, stories and literary illusions...are commonly used in Asian and African writing to demonstrate one’s educational level and accomplishment, to win the reader over to the author’s point of view, and to establish credibility. Classical sayings or poetic phrases will be used to make the writing look “well-educated” and to establish empathy. The writing process takes a more circuitous approach, where the reader is gradually taken along a journey where the argument, or the main thesis, is only found at the very end. The thesis will begin by saying what the topic isn’t before writing about what it is.’

This, of course, is the antithesis of academic writing as practised in the West, and here there is a particular need to help international students to appreciate what is involved and help them to adjust.

By these means, supervisors can try to fulfil one of their principal responsibilities, encouraging students to write early and often.

### Reflecting on Practice

Are your students writing early enough? Are they writing regularly enough? If not, how can you assist them to overcome the barriers to writing? How can you assist non-native English speaking students to improve their writing?
7. Assisting with Academic Problems

Research is, as argued earlier, an inherently difficult activity and it can almost be guaranteed that, at some point, students will be faced with problems. Such problems may include, for example, exploring the highways and byways of the topic and drifting too far away from the original focus of the research, setbacks in collecting data, inconsistencies in findings, problems with the status of results – the list is endless.

The appearance of such problems can pose a dilemma for supervisors. Should research students be left to dig their own way out of the hole? Or should the supervisor pull them out, dust them down, and send them on their way again? The first way accords with the view that a research degree should be entirely the student’s own work, and that the view that part of the exercise should be building self-reliance; the second recognizes that the researcher is inexperienced and that he or she needs help to recover the position and complete the thesis.

This is a matter of fine judgement, and the answer varies from case to case and from supervisor to supervisor. But it can be suggested that, if at all possible, supervisors should try the middle way, namely suggesting a way in which the student can, by their own efforts, resolve the crisis.

Again, there is a good example of such thinking in Delamont et al. (1997, p 77), in this case covering the familiar scenario where a research student has collected a vast amount of data and is unable to organize in a coherent way, i.e. the student is ‘drowning in data’. Rather than leaving them to flounder or going out with the lifeboat, Delamont et al suggest that the supervisor should arrange for the student to prepare a seminar paper or write a working paper re-stating the central questions of the research, establishing what needs to be evidenced to answer them, and re-evaluating the contribution that the thesis will make to knowledge and understanding. This, they argue, absolves the supervisor from direct intervention while providing an opportunity for students to re-focus the research, discard extraneous material, and hopefully avoid writing the ‘everything but the kitchen sink’ thesis which might be referred because of inadequate discrimination of evidence.

8. Assisting with Non-Academic Problems

Research students can experience non-academic problems which can affect their research. At Newcastle, primary supervisors are also personal tutors to their graduate students, and hence the role can extend to assisting with personal and social problems as well. Supervisors thus need to be equipped to deal with problems in the same way as for undergraduate tutees although it is worth noting that a number of schools have established additional arrangements for support. In addition, there is a postgraduate tutor in each faculty. Of course, there is also a range of University services for postgraduate research students with which supervisors need to be familiar, and which are set out elsewhere in this Handbook.

In addition to particular problems, it may be noted that one of the most consistent findings of the research literature on research students (see the summary in Delamont et al. 1997, p 96) is that they suffer, to a greater or lesser degree, from intellectual and social isolation. But, as the authors point out, while a degree of intellectual isolation is inherent in undertaking an original research project, ‘...there is no reason for this...to be accompanied by social or emotional loneliness’ and indeed this can be detrimental to the success of the research. So it is important for supervisors to ensure that there are opportunities for students to mix with others. These might include a regular postgraduate seminar, a postgraduate society, common development and training programmes, or participation in conferences or professional associations.

Again, in this context, it is worth stressing that particular consideration needs to be given to supporting international research students. They are more likely to feel socially and culturally isolated than home students, and they may find it more difficult for ask for support from supervisors or to make friends with fellow students. It is, as Ryan (2000 p 81) has argued, important to ensure that staff take an interest in the well-being of international students and assist them to join social networks. Also, where international students are accompanied by their families, consideration also needs to be given to involving spouses and children in social activities. They can feel marooned in an alien environment, and it is important to include them in school social activities and point them in the direction of relevant institutional societies and clubs.

9. Giving Feedback

Once students are writing and showing work in progress to you, you need to give them feedback. As Brown and Atkins (1988, pp 134-37) have pointed out, students need feedback for four main reasons, namely:

- to enable them to appreciate standards

Feedback gives the student a feeling for the standards against which their work will be judged. Students are unlikely at the start or in the early stages in particular to be fully aware of the standards that they are expected to attain (see Becher et al. 1994, p 134) and even reading successful theses in cognate areas may given them little indication of what to aim for at an intermediate stage of the research project. One of the key functions of the supervisor is to enable students to appreciate the standards which they are expected to attain. As Phillips and Pugh (2000, pp 23-24) have put it:

‘[Students] cannot get a PhD unless [they] know what the standards are...it is a vital responsibility of [the] supervisor to ensure that [they] are given every opportunity to become familiar with appropriate professional standards. It is only through this that [they] will be able to recognise and achieve them.’

Hopefully, as students learn from feedback, they should begin to internalize the standards and become able to critically assess their own work. This, of course, is part of becoming a successful researcher.

- to improve their skills

Feedback can also assist in developing students’ skills, including methodological skills (e.g. research design, data collection, data analysis, data interpretation) and writing skills. Students may or may not have the expertise to design and implement their research projects, and one of the functions of feedback is to advise on these matters and, in the case of shortfalls, assist the students to acquire relevant skills. Similarly, students’ skills in academic writing are likely to require development, and this is part of the function of feedback.

- to give them a sense of achievement

A further, and often neglected, reason for feedback is to give the student a sense of achievement. As Brown and Atkins (1988, p 136) have put it:

‘Students need to know that their work is valued and that their supervisors are genuinely interested in it.’

Being encouraged or praised is crucial to motivating
students, particularly in the early stages of the project before (hopefully) success becomes apparent and becomes an internalized driver in itself.

- to deepen their understanding

The final reason is to assist students to deepen and develop their understanding of the problem or topic that they are researching through discussion at all of the stages from inception through to completed drafts. But, if these objectives are to be achieved, feedback must be given in appropriate ways that will elicit a positive rather than a negative response from the student.

Suggestions include:

- thinking about an appropriate setting for the feedback

The setting for the feedback can have some bearing on how it is received by the student and the area of the discussion. On the other side – particularly if they are on a lower level – then the signal is one of formal interaction between a superior and an inferior. If you are side by side in armchairs, the signal is more one of a discussion between colleagues.

- opening by setting out expectations for the session

It can be useful at the start to set out your expectations for the session. In particular, you should make it clear that the primary objective is to enable further progress in the research project (see Phillips and Pugh (2000, p 174)). It also can be helpful here to make it clear that, where appropriate, you will expect students to challenge your views and opinions, and that this is a normal and essential part of the process.

- summarizing your understanding of the material submitted

One of the most useful things that a supervisor can do is to summarize your understanding of the material that the student has submitted. ‘So it seems to me that the central thrust of what you are saying is...’

- checking your understanding with the student

Once you have summarized, it can be very useful just to check that your understanding is the same as that of the student – ‘Have I got that right?’ This not only reassures students that you are taking their work seriously, but offers an opportunity to correct any misapprehensions at the start of the session.

- identifying the strengths of the work

You can then identify what you saw as the strengths of the work submitted, which is an opportunity for praise. ‘What I thought was really interesting was... what I most enjoyed reading was...’

- identifying the areas for attention

You can identify the areas for attention in ways that are constructive and positive rather than destructive and negative, e.g. ‘why did you try to solve the problem using method X rather than method Y?’ rather than ‘Didn’t you realise that you could have avoided these difficulties with method Y?’

- inviting the student to respond

Once you have identified the areas, then you can ask the student to respond. Here, it is very important that you allow the student to engage with the matters that you have raised, and in particular it must be recognized that they will need time to respond to queries about their work. You must also be prepared to listen carefully and check that the student has understood the point being made.

- summarizing the discussion

When the points have been exhausted, then it is important to summarise the discussion. You may try to draw the threads together and then check it with the student or, alternatively, you may ask the student to summarize.

- maintaining a record

Finally, for the benefit of both the student and yourself, there should be an agreed written record. Normally, this would be written by the student, copied to you, if necessary amended, and then agreed jointly.

By extending the work of Partington et al. (1993, p 78) to the case of supervisor feedback, it can be said that you should avoid acting:

- as an inquisitor

This supervisor behaves like a TV interviewer quizzing a politician during an election campaign, rapidly shooting out hostile questions, interrupting the answers, and generally trying to score points. Such an approach may intimidate the students so that he or she is unable to respond or anger them to the extent that the session becomes an adversarial confrontation.

- as a committee person

The committee person takes the student through the material page by page questioning each matter as it arises rather than synthesising points into key issues relating to the research.

- as a hobby horse rider

This supervisor has strong feelings or prejudices about one area of the submitted work and keeps returning to questions on this while neglecting other aspects of the research.

- as an inquisitor

This supervisor continually regales the student with stories of their own research career to the detriment of feedback on the material submitted.

**Reflecting on Practice**

What arrangements do you make for ensuring that feedback to research students is prompt? How do you ensure that feedback is constructive? Do you maintain written records of feedback given to research students?

10. Monitoring Progress

Clearly, one of the key tasks of the supervisor is to formally monitor the progress of the research project. This normally has three aspects, namely monitoring progress with the student, monitoring it in line with graduate school requirements, and monitoring in accordance with University requirements.

With regard to monitoring progress with the student, the University requires that supervisors should hold a formal meeting at least once per term with the student to review their progress and that the details should be recorded (Guidelines for Supervisors, 5). Such formal supervisions should be undertaken in a business-like way, with a date, time and agenda agreed with the student. Supervisors should ensure that, as far as possible, they should not be disturbed while they are meeting with the student.

Both to structure the meeting and to provide a record, it can be helpful to use a simple pro-forma with headings such as the one below.
Pro-forma for Supervision Meetings

Student ________________________
Supervisor(s) ________________________
Date of Meeting: ________________________
Duration: ________________________

Targets set at previous meeting

Progress towards achieving those targets

Implications for the research timetable

Targets to be achieved by next meeting

Actions required by supervisors

Actions required by students

Signatures ________________________ (Student)
______________________________ (Supervisor(s))

The pro-forma or similar can be completed by the supervisor and/or the student, but should be signed by both as a permanent record of the meeting.

In addition to formally monitoring progress with the student, supervisors normally also have to meet graduate school requirements for progress reports. So, for example, the Faculty of Medical Sciences Graduate School reviews progress at 9, 18 and 31 months into the research project, and supervisors are required to send reports to independent panels at those junctures.

Finally on monitoring, it is currently a University requirement (Guidelines, Para 6) that supervisors submit an annual report on the student’s programme of work using the University’s standard form. This should be submitted to the graduate school administration, which forwards it to the relevant Postgraduate Sub-Dean.

Reflexing on Practice

Do you meet your research students at least once per term to monitor their progress? Do you do this systematically? What graduate school requirements are there for monitoring student progress? Do you meet the University’s requirements for annual monitoring?

11. Assisting Students to Complete

After students have persevered through academic and possibly personal problems and completed the basic research, they then enter a new tunnel called ‘writing up’. While students may have conscientiously written up draft sections and chapters as they have gone along, they now face the task of putting it together as a whole and creating a thesis.

This would be easy if it were just a matter of throwing together what has already been written and adding linking sections, but demand rather more. As Barnes (cited Blaxter et al. (1996, p27)) has pointed out, ‘...a thesis is far more than a passive record of [the] research and generally involves presenting an argument or point of view. In other words it must say something and be substantiated with reasoned argument and evidence’.

Students can find it difficult to translate their work into a thesis, and here the supervisor may be able to assist by giving them a framework within which to work. One suggestion (see e.g. Cryer 2000, Taylor 2002) is to ask students to think of themselves as explorers who have undertaken a journey and who are writing a guidebook for others to follow.

As guides, they need to explain where they started from, what other guides they read, why they decided to undertake the journey at all, why they went off in a particular direction, what their route was subsequently, what they discovered on the way, where they arrived at the end of the journey, how it differed from the start, and where they would go in the future. They can be asked to map this on a few sides of paper, thinking carefully about what information must be imparted to enable someone to follow, what should be imparted, and what may be interesting but not strictly necessary.

Supervisors can then give feedback on the map, both on the overall clarity of the guidebook and upon the priorities assigned to particular stages in the journey. By this means, students can begin to construct a coherent outline of the thesis.

Once the general lines are clear, students can then be asked to fill in more details of sections of the journey, and then subsections until they have a detailed guidebook. This can then be translated into the structure for a thesis, e.g. starting sections (introduction), existing guidebooks (literature review), reasons (triggers for the research), direction (methodology), route and discoveries on the way (substantive research chapters), arrival (analysis and results), difference from the starting point (contribution to knowledge) and future (where research should go).

If, by these or other means, students can be assisted to establish a framework for their thesis, they then still have to write it. Here, supervisors can give guidance at least upon four key matters, namely communication, style, drafting, and managing the writing process.

A thesis is, of course, a form of communication, and it is necessary to consider in advance the audience to which it is intended. As Barnes (cited Blaxter et al. 1996, p178) has some excellent advice which students can be given or pointed towards:

‘The crucially important audience for theses are external examiners. Think of them as individuals who are exceptionally busy and grossly under-paid and who therefore have to read theses quickly. They will expect them to be well-structured and to be argued coherently to make the case for certain solutions to specific research problems. Irrelevancies will irritate, as will having to tease out meaning that research students should have extracted themselves. Think of them also as individuals who are very able and experienced in the general area, which means that the background material should be as concise as is consistent with showing that it is known.

However, no external examiner can be an expert in your work. By the time you finalise your thesis, you and you alone are the world’s expert. So the aspects that make your work significant and original and worthy of a PhD...need to be argued coherently; each step needs to be spelled out, the outcomes must be stated unambiguously, and all their implications identified and discussed in depth.’

With regard to style, it will of course be expected that the thesis is written up in ‘academic writing’, and it has already been suggested that students should be pointed towards the literature and to exemplars of the style appropriate to their work.

In terms of drafting, even with a framework students can find this a daunting task. One way of assisting them is to encourage them to write their first draft ‘as it comes’, and then work with you to polish and re-polish it into its final form. Again, this can pose a dilemma for a supervisor in so far as there can be a fine line between helping the student clarify what they want to say and writing it for them. There is no
simple solution to this dilemma, although it can sometimes be avoided by directing students to look at other work in which similar problems have been overcome.

In the context of advising on drafts, it is worth noting that the University's Guidelines for research supervisors (paragraph 12) state that the supervisor should not act as a proof reader and should make this clear to the student.

Last, but by no means least, students have to exercise a high degree of self-discipline to complete the thesis, particularly within a short period of time. It can be useful for supervisors to bring their students' attention to what Delamont et al. (1997, p 121) have described as the four 'golden rules' of writing, namely:

- the more they write, the easier it gets
- if they write every day, it becomes a habit
- tiny bits of writing add up to a lot of writing
- the longer they don't write, the more difficult it is to get back in the habit.

Reflecting on Practice
How do you help your students to translate their research materials into a thesis? How do you help them to write? Does your institution have a policy on the supervisor's role in writing? What constitutes helping as opposed to writing it for students? Are there exemplars you can point students towards to assist their writing up?

12. Advising on Submission
The completion of the first serious draft is usually an immense relief for students. But it can be a major headache for supervisors, who need to advise students whether what they have done has the potential to meet the standards for the award, and if not what needs to be done to bring it up to scratch. Giving such advice to students can be particularly difficult at the start of a supervisor's career, when their own experience may only be as an examinee and they are unsure about what is looked for by an examiner.

In such cases, the starting point for supervisors is to try to determine the criteria for success or failure. Here, published sources may include professional associations which have set out criteria for research degrees (see for example, British Psychological Society/UCoSDA, 1996; Royal Economic Society 1992; Royal Society of Chemistry 1995) or failing that more general statements of criteria (see e.g. Partington et al. (1993)). A further useful source may be examiners' reports on theses previously submitted in the school. Finally, and perhaps most importantly, supervisors should seek the guidance of colleagues with experience as examiners.

Once the criteria are reasonably clear, the supervisor can then read the draft and try to identify the strengths of the thesis (the area where the criteria are clearly met) and the weaknesses (those where criteria are not met). The latter can then be divided into weaknesses which are minor, major, or which constitute potentially fatal flaws. Again here it is very useful to have a second opinion from experienced colleagues.

Once the diagnosis has been made and confirmed, then feedback can be given to students. It can be helpful to do this within the framework set out above – criteria, strengths, and weaknesses – before advising them how to proceed. If all has gone reasonably well earlier, there should not be fatal flaws (which would necessitate further research), but weaknesses to be corrected by re-drafting or textual amendments. Subject to these being made – and the supervisor should insist upon seeing successive drafts – the supervisor should be able to give the green light for submission.

13. Advising on Examination
Once the final title has been submitted, the process of arranging the examination begins. Supervisors will normally be consulted about the nomination of examiners, usually one internal and one external. The latter in particular can, as various studies (see for example: McWilliam et al. (2002); Mullins and Kiley (2002)) have shown, involve some heart-searching by supervisors; should they suggest Professor X who is a leading authority in the field but is known to be fiercely critical of the offerings of lesser mortals, or Dr Y who is less distinguished but more likely to take a balanced approach to examining the student's work? The ideal is, of course, an external examiner who is distinguished and who will take a balanced approach, and if at all possible, supervisors should suggest the names of examiners of this ilk.

With examiners appointed and the thesis forwarded to them for scrutiny, the supervisor then normally has to arrange the date, time and place of the final examination, the viva. In the past, this has signalled the end of the supervisor's involvement in supervision itself as opposed to examination, but in recent years the view has grown that the supervisor should play a part in preparing the student for the experience of the viva.

Unless students have previously attended Universities in which their awards were conditional upon an oral examination, the chances are that the examination for their research degree will be their first experience of a viva. This might be of little consequence if, as in many other European countries, the viva was a public affair and they could go along and experience what happened. However, this is rare in the UK, and for most students (and for that matter first time examiners), what goes on in the viva has, historically, been a mystery, one which has only recently become the subject of systematic research (see e.g. Tinkler and Jackson (2002)).

In the absence of hard information, tales of vivas being used to inflict unnaturally cruel punishment on research students abound with the result that, as Delamont et al. (1997, p 148) have put it:

'The student may well fear and dread the [viva] examination. Even when the student is outstandingly competent, and however excellent the thesis may be, the process of examination is a stressful one...most [candidates] feel worried by the indeterminacy of the viva'

Here, the supervisor can play a role, in three main ways:

♦ Firstly, by de-mystifying the viva through explaining its purposes, procedures, and outcomes. In the case of Newcastle, these are set out in the University's Handbook for the Examiners of Research Degrees (2003), and it can be helpful for supervisors to take students through the relevant parts.

♦ Secondly, by indicating what the student should do to prepare in terms of re-reading their thesis, keeping up to date with the literature, and preparing for questions.

♦ Thirdly, and perhaps most helpfully, supervisors can arrange for students to have a short mock viva in which colleagues who are experienced as examiners question them on a key part of their thesis and afterwards give feedback on their performance. Such an opportunity to 'taste' what is in store is invaluable in enabling students to prepare themselves both intellectually and psychologically for what is to come.
Reflecting on Practice
Do your research students have any previous experience of vivas? How do they feel about them? How can you help them to prepare?

14. Assisting with Career Development, Networking, and Publication

It is good practice for supervisors to assist students with career development, networking, and the publication of their work.

At one time, students undertaking a research degree, particularly a PhD, were destined predominantly for the groves of academe, and career development took the form of socializing them into the values and rituals of the relevant academic tribe (see e.g. Delamont et al. (2000)). But it is no longer the case that successful research students necessary become academics – a majority do not – and even those who do follow an academic career require a wider portfolio of skills. Part of the job of the supervisor is, from the very start of the studentship, to encourage the student to actively acquire the key skills necessary to give them an edge in the labour market. A full list of key skills is available from the Centre for Academic Development, also offers support to supervisors on how to develop them (see www.careers.ncl.ac.uk/academics). While all skills are important, it is perhaps worth highlighting one, namely the need to encourage research students to acquire the skills to give effective oral presentations. Such skills are vital in the academic context (a number of faculties include oral presentations as part of their procedures for progression and of course students need them to make presentations to seminars and conferences) and in employment. It is worth making inquiries about whether training in presentation skills forms part of the faculty research training programme, directing students’ attention towards the relevant literature (e.g. Cryer (2000)), and offering opportunities for students to give mini-presentations and receive feedback.

Under the heading of skills, supervisors also need to encourage students to record the skills that they acquire over the course of their research programme for later use as evidence to prospective employers. In some graduate schools, e.g. Medical Sciences, the acquisition of skills has been formalized by requiring students to maintain Personal Development Records, but in others it may be up to the supervisor to prompt the student to acquire record skills the development of their skills. Assistance for supervisors in encouraging students to do this is available from the Careers Service.

A second function of supervisors can be to encourage students to network within the subject community and to provide opportunities for them to do so. Academia is heavily dependent upon networking informally and formally, in the latter case through professional associations and conferences (see Blaxter et al. (1998, pp 55-77)). Students need to be encouraged to establish their own informal networks of academic colleagues in their subject areas, and to join in professional networks, e.g. the postgraduate sections of professional associations. This can be important for their research, as a counterweight to isolation, and in acquiring networking skills which will stand them in good stead in any career.

A third function of supervisors is, as soon as it is practical to do so, to encourage students to publish their work in scholarly journals. Publications, particularly those during the course of a research degree, can help variously to mark out their academic territory, bring them into contact with others working in the same field, boost their self-esteem, give them a better platform for applying for jobs and, last but not least, enhance school publication rates. But students do need guidance from their supervisors about how to write for publication, which journals or publishers to aim for, and how to go about submitting a paper or a book.

Research students’ writing for publications, of course, raises the issue of whose names should go on papers submitted to journals etc. Here, practice varies considerably between and within disciplines. In some the convention is that the supervisor’s name automatically goes on the paper as, if different, does the name of the person who has obtained the funding for the research. This can and does lead to friction if research students feel that they have done the vast majority of work for the paper but are effectively credited with an equal share of the authorship. One way around this which has been used in some subjects is to have a footnote indicating the relative contributions of the authors, say X the supervisor 20 per cent, and Y the research student 80 per cent.

Reflecting on Practice
Do you encourage students to think about career development at the start of their studentships? Do you encourage them to assemble an appropriate portfolio of skills for employment over the course of their studentship? Do you assist them to acquire effective presentation skills? Do you encourage students to network and provide opportunities for them to do so? Do you encourage students to publish? What is the relevant policy in your discipline for the attribution of authorship in publications?

15. Working with Co-Supervisors

So far, these Guidelines have predominantly been concerned with good practice in the single supervision of research students. This is very much in line with the historical model of the British PhD which has normally involved undertaking a research project on a narrowly-focused topic within a single discipline or sub-discipline. For this reason, the main requirement for research supervision has been the possession of the highly-specific subject expertise necessary to be able to guide and support students’ work within their chosen field of enquiry. Within any particular university, such expertise has normally resided in a single member of staff, and consequently the dominant mode of research supervision has been one supervisor to one student.

In recent years, however, there have been strong pressures, not least from the research councils, for research degrees to become multidisciplinary and/or involve a mix of academic research and practical application in an industrial or commercial or professional context. Given this, requirements for research supervisors have broadened significantly to include expertise from a range of relevant disciplines and sub-disciplines and/or industrial and commercial experience. Such expertise may not normally reside within a single member of staff, with the consequence that, increasingly, students have more than one supervisor, i.e. there is co-supervision.

But this shift has also been apparent in older forms of doctoral studies, including traditional PhDs, where team supervision has become much more common (see e.g. Joint Funding Councils (2002)).

The reason why co-supervision is becoming all but ubiquitous is the perceived benefits that it offers to both supervisors and students. The former can offer each other mutual support and learn from each other’s disciplines and experience, while students have two sources of support and advice for their research. So, for example, a recent student survey by the Wellcome Trust (cited Frame and Allen (2002, p 101)) found that co-supervision was valued:

‘…primarily to ensure accessibility at any time to at least one senior researcher with knowledge and involvement in the research and as a back-up, providing a second person or team, with whom ideas could be discussed.’

But, as any reader of the student-based literature on supervision by committee in the US (see e.g. Peters (1997), Fitzpatrick et al (1998)) will be aware, it can also lead to problems with potentially serious consequences for doctoral students. Co-supervisors may disagree as to the aims and objectives of the research project which, as Cryer (2000, p 70) suggests:

‘…puts tremendous burdens on the research student who...’

So, if there is co-supervision, it is good practice for supervisors to spend some time discussing how to establish a professional relationship with each other, as well as with the student. Such a discussion should encompass agreeing notions of what they are supervising, deciding they are to work with each other to integrate their own understandings of the topic and give consistent advice to students, and determining what their respective roles should be.

It should be noted that, where there are co-supervisors, it is a requirement at Newcastle that one supervisor who is a member of the academic staff should be designated as the primary supervisor, and the other as a secondary supervisor. While the University prescribes that the former should ultimately be responsible for supervising the student's work, at present it does not offer further guidance as to precisely what the division of labour should be between the primary and secondary supervisors. Particularly in cases where the student spends part of their time outside Newcastle studying under a second supervisor, it is necessary to specify who is responsible for what. Here, a useful template which could be adapted for use at Newcastle, has been developed at City University, and is set out overleaf.

**Reflecting on Practice**

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you discuss the requirements for a research degree with your co-supervisor at the start of the studentship?</td>
<td>Do you discuss ways of resolving inter-disciplinary differences and giving consistent advice to students?</td>
</tr>
<tr>
<td>Have you and your co-supervisor clear ideas of who is responsible for what in supervising the student?</td>
<td>Have you and your co-supervisor clear ideas of who is responsible for what in supervising the student?</td>
</tr>
</tbody>
</table>

**Conclusions**

Being an effective researcher is a necessary condition to be a research supervisor, but it is not a sufficient one; the latter requires being an effective supervisor as well. That, in turn, involves unpacking what is involved in effectively supervising a research student, reflecting on practice, and improving it. Hopefully these Guidelines will at least give food for thought in encouraging supervisors to review their effectiveness.

**Acknowledgements**

This Handbook has been authored by Dr Stan Taylor of the Academic Quality and Standards Section. The author would particularly like to acknowledge the contributions of Prof Madeleine Atkins, Dr Paul Christensen, Mrs Katherine Hind, Prof Chris Perriam, and Prof Paul Taylor.

**References**

The internal supervisor:

Accountability
♦ represents the institution making the award and is accountable...for the satisfactory completion of the project.
♦ clarifies to the student and external supervisor, prior to commencement of the research, the University’s requirements regarding scope, content, structure, timing and intellectual level of a research thesis appropriate to the target qualification.
♦ confirms any financial arrangements, and modus operandi for information exchange, progress review, production of interim reports and papers and relevant inter-vivos meetings.
♦ discusses with the student the general role of an external supervisor, and any characteristics peculiar to a supervisor for the proposed research, and requests nominations from the student.
♦ discusses with potential external supervisor their role, and the student’s proposed programme, and confirms any changes agreed by both supervisors and the student.
♦ progresses the student’s application and liaises with the School/School Senior Tutor/Director of Research and Board of Studies on the required formalities for progress and annual report.

Knowledge
♦ agrees with the student a potential research question or proposition that meets the University’s requirements and fits the student’s interests and opportunities.
♦ gives guidance about: the nature of research and the standards expected; the planning of the research programme; literature and sources; requisite techniques; and the avoidance of plagiarism.
♦ gives advice on the structure and layout of the thesis.
♦ ensures that the student is aware of appropriate health and safety regulations.

Training
♦ arranges training on subject-specific material and skills and generic skills as appropriate.
♦ arranges, as and where appropriate, for the student to talk about his/her work to staff or graduate seminars and to have practice in oral examinations.

Time and Contact
♦ reviews student submissions, and discusses content and timing with student and external supervisor, with recommendations of any general changes needed to meets the University’s standards.
♦ ensures that the student is made aware of any inadequacy of progress or standards of work below that generally expected, confirming this in writing to the student and arranging any supportive action necessary.

Introduction to the Field
♦ arranges, as and where appropriate, for the student to talk about his/her work to staff or graduate seminars.

The external supervisor:

Accountability
♦ acts as coach and counsellor to help the researcher to meet the goals agreed between them and the internal supervisor.

Knowledge
♦ possesses sufficient knowledge of the research area to provide accurate advice and guidance on the project.

Time and Contact
♦ prompts a regular review of the plan and setting agreed targets.
♦ possesses sufficient available time, after all other responsibilities have been taken into account, to dedicate to the needs of each individual research student he/she is supervising.
♦ maintains contact through regular tutorial and seminar meetings in accordance with School policy and in the light of discussion of arrangements with the student.
♦ is accessible to the student at other appropriate and reasonable times when he/she may need advice.
♦ requests written work, as appropriate, and returning such work with constructive criticism and within reasonable specified time.

Introduction to the Field
♦ takes an active role in introducing the student to other workers in the field, and the appropriate academic bodies and societies.

Reporting
♦ maintains a record of formal supervision meetings for each supervisee to include: date of meeting duration of meeting, summary of discussion and any specific advice given. It is desirable for the student to produce the summary of discussion. The record should be signed by both the supervisor and student and any dissent recorded.
♦ monitors the student’s attendance as appropriate and informing the relevant bodies through the internal supervisor of absence or withdrawal.

Guidance for the Future
♦ provides guidance, in conjunction with the internal supervisor, encouragement and counsel regarding the future career plans of the research student.
1. Nomination

Candidates for postgraduate research degrees must complete the minimum period of registration required for the award and formally submit the exact title of their thesis for approval to the postgraduate dean of their faculty not less than three months before they intend to submit it. At the same time as the title is submitted, the head of the school in which the candidate is studying should nominate examiners for the thesis on the approved form for this purpose. Heads of school should consult supervisors about nominations. In the case of student candidates, heads of schools or should normally nominate one external and one internal examiner. In exceptional cases where the head of school is satisfied that the candidate’s supervisor is the only member of the University who is competent to undertake the examination, he or she will consult the relevant postgraduate dean. If the latter is also satisfied that this is the case, he or she will approve the candidate’s supervisor as the only member of the University and, in the case of the external examiner(s), have not been a member of staff at Newcastle for at least three years.

2. Criteria

In making nominations, heads of school should, in consultation with supervisors, seek to identify prospective examiners who:

- are fully cognisant with standards for the award of research degrees in the subject in comparable institutions
- have significant experience and knowledge of research in the subject area within which the candidate is working
- command authority in the field and the respect of their subject community
- have played no personal part in the research undertaken by the candidate
- and, in the case of the external examiner(s), have not been a member of staff at Newcastle for at least three years
- are able and willing to examine candidates and to complete the process of examination within a specified period

Heads of school should present evidence, e.g. a short CV and a list of recent publications, that nominees fulfil these criteria. Subject to the presentation of satisfactory evidence, postgraduate deans make recommendations to Senate.

3. Appointment

Examiners are appointed by Senate. Following appointment examiners are sent:

- a letter setting out the terms and conditions of appointment
- a copy of the University’s Regulations governing the relevant research degree
- the relevant Examination Conventions
- relevant information about the programme followed by the candidate
- the University’s Handbook for Examiners of Research Degrees by Theses
- a copy of the work submitted by the candidate in fulfilment of the requirements for the award
- a form for reporting on the examination

4. Duties

The core duties of examiners for research degrees are:

- carefully to consider the written work submitted by candidates
- to arrive at an independent evaluation of whether the work submitted meets the standards of the award and, if not, in which aspects it is deficient
- to write a preliminary report and send it to the graduate school administration for forwarding to the relevant postgraduate dean
- to consult with other examiners and compare preliminary reports
- in the case of research degrees where vivas are optional, to decide if it is appropriate to use this means of determining a candidate’s suitability for the award
- where a viva is optional but deemed necessary or where a viva is a mandatory part of the University’s examination process:
  - to agree with the supervisor a date and time for the viva
  - to prepare for the viva before the viva, to compare independent reports with the other examiner and agree an agenda for the examination
  - to conduct the viva examination
  - following examination of all written and, where appropriate, oral evidence, to decide whether the candidate has met the standards for the award
- to decide upon an appropriate recommendation to Senate (the full list of recommendations allowed under University regulations is set out later in this document)
- to write a final report with other examiner(s) on the candidate’s performance and submit it on the approved form to the graduate school administration.
- in all cases where the recommendation is that the thesis be revised before award or re-submission for the original or a lesser degree, to agree with the other examiner(s) a full list of the changes to be made and/or work to be undertaken. This should be given to the candidate and supervisor as soon as possible after the viva and a copy attached to the final report.
- in the case of external examiners, to comment upon any aspects of a candidate’s experience which they have judged to be particularly good or which have raised problems. This should be forwarded to the graduate school administration for forwarding to the relevant postgraduate dean.
5. Good Practice

The purpose of this section is to try to outline good practice in the examination of research degrees by thesis. There is no intention to be prescriptive, just to give a view of the processes involved. These processes are divided into pre-examination, examining written work, the preliminary report, oral examinations, and post-examination.

5.1 Pre-examination

Before reading the work submitted, examiners should consider the criteria against which to evaluate theses. Such criteria may relate to the chapters of the thesis, the thesis as a whole and the award.

5.1.1 Criteria relating to chapters of the work

Criteria relating to specific chapters of the work will vary considerably between subjects and, within subjects, between topics. But they may include, for example:

- The context
  ♦ that the research question(s) have been placed in their academic and, where appropriate, industrial or commercial contexts
  ♦ that, in the case of a thesis undertaken as part of a team project, the relationship of the research to the overall project is set out along with the contribution of the candidate relative to that of other team members

- The literature
  ♦ that the relevant literature or an appropriately justified section of it has been covered
  ♦ that the literature is reviewed in ways which are critical and analytical and not just descriptive
  ♦ that the thesis demonstrates clear mastery of the literature
  ♦ that explicit links are made between the literature and the topic of the thesis
  ♦ that there are explicit links between the literature and the design of the study
  ♦ that there is a summary of the literature in so far as it relates to the thesis topic

- Methodology/methods
  ♦ that there is an awareness of the range of methodologies/methods which have been or might be used to tackle the topic
  ♦ that there is adequate justification of the methodology(ies)/methods adopted for the research
  ♦ that the methodology/methods are related to the design of the research
  ♦ that practical problems and issues are identified and discussed
  ♦ where applicable, that ethical considerations are outlined and discussed
  ♦ where applicable, that matters of reliability and validity are identified and discussed

- Design of the study
  ♦ that the design of the study is appropriate to the topic
  ♦ that there is awareness of the limitations of the design adopted

- Substantive research
  ♦ that the research design has been properly implemented
  ♦ that the relevant sources of evidence have been explored

- Analysis
  ♦ that appropriate theoretical and, where applicable, empirical techniques are used to analyse evidence
  ♦ that the level and form of analysis is appropriate to the evidence

- Outcomes/Results
  ♦ that the outcomes/results identified relate to the topic
  ♦ that the outcomes/results are justified on the basis of the analysis of the evidence
  ♦ that the outcomes/results are presented clearly
  ♦ where applicable, that patterns and trends in the outcomes/results are accurately identified and summarized

- Discussion
  ♦ that the main points emerging from the outcomes/results have been picked up for discussion
  ♦ that there is an awareness of the limitations of the outcomes/results

- Conclusions
  ♦ that the conclusions relate to the initial focus of the study
  ♦ that the conclusions drawn are justified by the study
  ♦ that the implications of the conclusions for the field of knowledge have been identified

5.1.2 Criteria relating to the thesis as a whole

For all research degrees, the University requires that work presented for examination should be:

- Authentic
  The thesis should be the candidate’s own work and not plagiarized from the work of others, published or unpublished. All sources used should be appropriately acknowledged using a recognized form of referencing

- Scholarly
  The thesis should conform to the normal canons of scholarship, displaying critical discrimination and a sense of proportion in evaluating evidence and the opinion of others. Sources should be cited accurately, consistently, and correctly in the text and in the bibliography.

- Professional
  The thesis should demonstrate that the candidate has acquired or extended a repertoire of research skills appropriate to a professional researcher in his/her field and has a clear understanding of the role of such a researcher.

- Well-structured, written, and presented
  The thesis should be clearly structured and orderly in arrangement, and well-written and presented. Similarly, any composition, exhibition, artefact(s) or other products of practice arising from the research should be arranged and presented in an orderly and coherent way.

5.1.3 Specific criteria relating to the award:

- MPhil
  In addition to the above, for the MPhil the University requires that the thesis should demonstrate an advanced knowledge of the subject including a satisfactory knowledge of the literature. It does not require that it should be original or worthy of publication

- DDS/MD/PhD
  The criteria here are that the thesis
  ♦ should show evidence that the subject has been studied with adequate industry and application
  ♦ demonstrates an ability to conduct original investigations and to test the ideas of the candidate and those of others
  ♦ shows that the candidate understands the relationship of the theme of his or her thesis to the wider field of knowledge
  ♦ exhibits substantial evidence of original scholarship
5.2 Examination of Written Work

While it is good practice to have clear criteria in mind prior to reading the thesis, it is recognized that different external examiners will have their own methods. What follows below are simply suggestions which may be of interest to those new to examining (experienced examiners may wish to skip to this section).

In their Handbook for Examiners, Brown, Partington and Gordon (1993) suggest that examiners should:

♦ Start by gaining an overall impression of the substance of the thesis or dissertation.
Examiners can start by reading the full title, the abstract, and the introduction and then turn to the final chapter(s) to see what conclusions were reached. This should enable them to gain an overall impression of what the thesis is about and what has come out of it.

♦ Reflect and re-formulate criteria relating to sections of the thesis.
Examiners may then reflect and consider how the criteria relating to the sections of the thesis (5.1.1 above) might be applied to the topic in question, e.g. the literature the candidate might be expected to have read, which methods would be appropriate, etc. etc. By the end of this examiners should have effectively translated the criteria into a set of clearly-defined questions to be asked of the specific piece of work before them. In addition, their reflection may have led to new questions about the research.

♦ Read and note.
Examiners can then carefully read each chapter of the thesis or dissertation with the relevant questions in mind. They can note where questions have been answered satisfactorily, where clarification is needed, and where answers are not satisfactory. As, in the course of reading, additional questions occur, these may be noted and views recorded on how well the candidate has answered them in the present chapter or in subsequent ones.

♦ Reflect and summarize.
Examiners should now have a clear idea of how far each section of the thesis meets the relevant criteria. These may be summarized to identify the strengths and weaknesses of the thesis and to highlight issues where clarification is required.

♦ Consider whether the thesis meets the general criteria.
In the process of reading the thesis section by section, examiners will have begun to formulate an impression of how it meets the more general criteria concerning authenticity, scholarship, and structure, presentation and citation (5.1.2 above). They may now consider how far the work meets these criteria and note where the work does fulfil them, where there is doubt, and where they are not met. This may involve re-reading all or part of the thesis and would normally include checking a sample of citations.

♦ Consider whether the criteria for the award have been met.
The last area for consideration is whether the thesis meets the award specific criteria. It can be helpful here for examiners to refresh their memory of the University’s regulations, in particular in the case of the PhD to consider the definition of originality. Again examiners should note in what respects the thesis meets the criteria, where this is unclear, and where it does not meet them.

If examiners follow the above, they should have notes on the extent to which the criteria are met for sections of the thesis, the latter as a whole, and in relation to the award. These notes should form a basis for writing a preliminary report.

5.3 The Preliminary Report

Examiners should then independently write a preliminary report which will indicate their provisional assessment of the thesis and of the issues to be explored in the viva. The University recognizes that these reports will vary considerably depending upon the discipline and the subject matter of the thesis. But it would normally expect that, if the criteria have clearly been fully met, the report will normally be very brief. But, on the other hand, if examiners have serious doubts or concerns about whether criteria have been met, a fuller account would be expected.

A copy of the preliminary report should be sent to the graduate school administration in advance of the oral examination for forwarding to the relevant postgraduate dean. The preliminary report should not be shown to the candidate.

5.4 Oral Examination

The purpose of the viva is to gather further evidence from the candidate about their suitability for the award, in particular:

♦ to ask the candidate to clarify issues relating to meeting criteria relating to specific parts of the thesis, to the thesis as a whole, and to the award.

♦ to ascertain that the thesis is the candidate’s own work, that he or she has developed research skills at this level, and that he or she understands the relationship of the thesis to the wider field of knowledge.

♦ in cases where the thesis and/or the candidate for the award clearly does not meet the criteria, to find out the reasons. These may include the abilities of the candidate or other factors affecting the research, e.g. deficiencies in research training, the quality of supervision, the availability of resources, disruptions to the research process, or personal circumstances.

It is normally the supervisor who arranges the date, time and place of the viva. The supervisor should normally be available for consultation if necessary prior to and during the viva although they are not normally present (except in cases where the supervisor is appointed as an examiner).

Examiners should have a meeting, normally a couple of hours before the viva, to exchange and discuss preliminary reports. Examiners should then, bearing in mind each other’s comments upon the written work, jointly determine:

♦ the key issues to be raised with the candidate.

These will be those identified in the initial reports where clarification is required or where criteria have not been met.

♦ the order within which they are to be raised.

In order to encourage candidates to talk, it can be helpful to raise relatively uncontroversial/factual issues at the start and then proceed to ones which are likely to be more difficult/conceptual when he or she is in the swing of things.

♦ who will ‘lead’ on each issue.

Examiners usually decide upon a division of labour based upon their expertise in the topic, with one leading on each issue and the other asking supplementary questions.

Normally, the external examiner chairs the proceedings and has overall responsibility for conducting the viva. In cases where there is more than one external, it should be agreed who will undertake this role.

Good practice in conducting a viva is:

♦ to ensure that the room is appropriately laid-out.

The viva is a formal occasion, and the room should be appropriately laid out.

♦ to introduce the examiners to the candidate.

It is courteous to the candidate for the chair of the examiners to introduce him- or herself and the other examiner(s) to the candidate.

♦ to explain the purpose of the viva to the candidate.

It can be useful to explain to candidates that the purpose of the viva is to provide them with the opportunity to defend their thesis in high-level debate with experts drawn from the relevant research community.
to explain the process of the viva to the candidate

As many candidates will not have previously undertaken a viva, it has been pointed out (see UCoSDA/British Psychological Society, 1995) that it can be helpful to explain the process to them. This involves the examiners asking questions about their work and supplementary questions based upon their answers.

The chair should make it clear that the examiners have a duty to thoroughly explore both the work presented and the candidate’s knowledge and understanding of both it and the wider field and that persistent questioning is a normal and necessary part of the process.

If he or she wishes, the chair should also say that no information about recommendations will be given until the examiners have conferred after the end of the viva but make it clear that this again is part of the process and that no inferences should be drawn.

The candidate should also be told that he or she may, if they wish, consult with their copy of the thesis throughout the viva.

to start by commending the candidate

Candidates can be extremely nervous, and it is important to try and settle them down at the start of the viva by saying something commendatory but non-committal, e.g. ‘We found your thesis very interesting’, ‘we particularly enjoyed...’.

to question the candidate

Examiners should then start the questions. Normally, the external examiner begins the questions, and he or she should choose ones to start with which candidates should be able to answer without undue difficulty, e.g. why did you decide to do this topic?, what aspect of the work have you most enjoyed? Further questions should then be asked covering the key issues and in the order previously identified. In questioning the candidate, examiners should:

- ask questions in a constructive and positive way

Examiners should try to ask questions in ways that are constructive and positive rather than destructive and negative, e.g. ‘why did you try to solve the problem using method X rather than method Y?’ rather than “Didn’t you realise that you could have avoided these difficulties with method Y?”

- use an appropriate range of questioning techniques

Questions may, as Murray (1998) has noted, be general (‘How did you come to study this topic?’), open (‘tell me about your methodology?’) or closed (‘why did you think that the confidence limits were unimportant in this case?’).

General or open ones are useful in encouraging the candidate to reflect upon their work, while closed ones lead to specific answers. Examiners should try to tailor the type of question to the type of answer required and, if possible, aim for a mix of general and open questions (which are harder to answer but can reveal much more about the candidate) and closed ones (which may reveal less but are easier for the candidate to answer).

- recognize that candidates may need time to answer

Particularly when asked general or open questions, candidates may need some time to gather their thoughts together and produce a coherent answer. Examiners need to recognize this and encourage candidates to reflect, e.g. by telling them to ‘take your time’

- praise a good answer

When candidates give a particularly incisive or interesting answer, it can be helpful to their morale to praise them

- give candidates a chance to recover from a poor answer

When candidates give a poor answer, this may be through misunderstanding or nerves. Rephrasing a question and asking it again gives the able candidate the opportunity to recover the position or may confirm the inability to respond of a weaker one.

to conclude the viva

After you and your co-examiner(s) are satisfied that you have gathered the relevant evidence, you should indicate this to the candidate, thank them for answering your questions, ask whether there are any concluding comments which they wish to make, explain again that the examiners will now consult about the outcome, and tell them how the recommendation will be communicated to them. While this may be done informally after the viva, candidates should be informed that formal notification of the result will be given by the Registrar’s Office.

Poor practice in conducting the viva (see Partington, Brown and Gordon (1993: p 78) would be for an examiner to act throughout as:

- an inquisitor

This examiner behaves like a TV interviewer quizzing a politician during an election campaign, rapidly shooting out hostile questions, interrupting the answers, and generally trying to score points. Such an approach may intimidate the candidate so that he or she is unable to respond or anger them to the extent that the viva becomes an adversarial confrontation.

- a proof reader

This examiner takes candidates line by line through their theses asking questions about errors of spelling, punctuation and grammar. If these are exceptionally poor, instead of proof reading in the viva, examiners can make it a requirement that the thesis is re-typed or hand the candidate a list of corrections after the viva.

- a committee person

The committee person takes the candidate through the thesis page by page questioning each matter as it arises rather than synthesising points into key issues relating to the trigger for the study, the methodology, the design, etc.

- a hobby horse rider

This examiner has strong feelings or prejudices about one area of the thesis and keeps returning to questions on this while neglecting other aspects of the research.

- a kite fly

The kite-flyer has identified a – usually fairly tenuous – link between the thesis and another subject and persists in exploring this to the detriment of the examination of the topic as defined by the candidate, i.e. effectively examines a thesis which the student did not write.

- a reminiscer

This examiner continually regales the candidate with stories of their own research career to the detriment of the examination of the candidate’s work.

5.5 Post-examination

After reading the thesis and, if appropriate, conducting the viva, examiners have to decide upon a recommendation, write a report on the examination, and decide what information should be given to candidates required to amend or re-submit theses or dissertations. External examiners are also invited to make comments on any aspect of candidate’s experiences which they have judged to be particularly good or which have raised problems.

5.5.1 Deciding upon a Recommendation

The full set of recommendations which examiners can make under University regulations are:

(a) that the candidate should be awarded the degree subject, if necessary to minor corrections of the text made to the satisfaction of the supervisor or to minor revisions subject to the satisfaction of the internal examiner

(b) that the candidate should be required to revise the thesis and submit it for re-examination by all examiners within a period of twelve months and, if appropriate, undergo a further viva
(c) that the candidate’s thesis should be accepted but that a further oral or, in exceptional cases, written examination be held within a period of six months

(d) that the candidate has reached the standard required the appropriate Master’s degree and should be awarded that degree instead, subject, if necessary, minor corrections of the text to be made to the satisfaction of the supervisor or to minor revisions being made to the satisfaction of the internal examiner

(e) that the candidate be permitted to revise and re-submit the thesis for the appropriate Master’s degree within up to twelve months and, if so required, be re-examined orally

(f) that no award should be made and the candidate be adjudged to have failed

Recommendations for award (a) above

In cases where examiners are satisfied that all of the criteria for the award are fully met, they should recommend the award of the degree immediately or subject to making minor textual corrections subject to the satisfaction of the supervisor or minor revisions to the satisfaction of the internal examiner.

Other recommendations ((b) to (f) above))

In cases in which examiners are not satisfied that all of the criteria are fully met and are unable to recommend award, then there is a range of other recommendations which can be made. In deciding which of these to make in a given case, examiners should take into account:

♦ the potential to meet the standards for an award

A recommendation to revise a thesis for resubmission and re-examination should only be made if, in the judgement of the examiners, it has the potential to meet the standards for the original award submitted for or for a another award. If it does not, then it should be failed.

♦ the amount of work entailed in revising the thesis

It is possible to recommend that the thesis should be revised and resubmitted within either six or twelve months, and examiners have to make a judgement about the amount of work entailed. If this is a re-writing of sections of the thesis, then normally six months is appropriate; if it is a complete rewrite, then twelve months would be appropriate. If further research is required, this should normally be secondary, e.g. discriminating data or recalculating statistics, and not primary, e.g. gathering new data.

♦ external factors relating to the research

While, of course, external factors relating to the research must not generally be regarded as extenuating in the context of recommending award, examiners may wish to take them into account when considering the time within which a candidate should have the opportunity to revise and re-submit their thesis, subject to the maximum of twelve months.

Such factors may include:

– the quality of supervision received by the candidate, e.g. problems between students and supervisors, disrupted supervision

– facilities available for research, e.g. inadequate resourcing of equipment, unexpected non-availability of equipment, problems with technical support, inadequate library facilities research procedures, e.g. access to participants/clients, patients who have withdrawn unexpectedly, delays in gaining ethical approval for experiments

– the personal circumstances of the candidate

While personal circumstances must not generally be regarded as extenuating in the context of recommending award, examiners may wish to take them into account when considering specifying the time within which a candidate should have the opportunity to revise and re-submit their thesis, subject to the maximum of twelve months.

Such personal circumstances may include illness, pregnancy, personal stress, linguistic or cultural difficulties in undertaking and writing up the research. There should normally be documentary evidence covering such circumstances.

Additionally, in the rare cases of candidates whose thesis is satisfactory but who fail the viva examination, personal circumstances may be taken into account in considering whether to hold a second viva or to hold a written examination. So if, for example, there are medical reasons why the candidate will viva poorly or in cases where candidates are returning overseas and will find it difficult to return for a second viva, examiners may consider substituting a written test.

5.5.2 Writing the Final Report

The final report should be written, ideally, immediately following the viva or as soon as possible thereafter.

In the vast majority of cases, examiners independently arrive at the same verdict and concur in the recommendation. They should then jointly complete the supplied final report form. This involves completing a checklist of how far the criteria for the award have been met by the candidate and stating the recommendation to Senate. Final reports should be sent to the graduate school administration which will, subject to approval by the relevant postgraduate dean, forward them to the candidate and the candidate’s supervisor.

In a few cases, examiners may be unable to agree upon a recommendation. In this case, they should complete the form indicating their recommendations and the grounds for disagreement, and forward it to the graduate school administration. (This report will not be made available to the candidate but will, if the candidate should subsequently appeal, form part of the formal record of appeal). The University will then appoint a new external examiner who will re-examine the thesis, if necessary conduct a further viva, and make a recommendation which is final. The second (or, in the case of staff PhDs, third external examiner) should send his/her final report to the graduate school administration which will, subject to the approval of the relevant postgraduate dean, forward it to the candidate and the candidate’s supervisor in the normal way.

5.5.3 Giving Information to Candidates Required to Revise or Resubmit Work

In cases where the recommendation is that changes need to be made to the thesis before resubmission, it is the responsibility of the examiners to provide full details of all changes and revisions required. The list of revisions required should be given to the candidate and the candidate’s supervisor as soon as possible after the viva and a copy attached to the final report which is forwarded to the graduate school administration. The latter then communicates these in writing to the research supervisor and to the candidate. It should be noted that the presumption is that if the candidate makes these changes and revisions to the satisfaction of a designated examiner (normally the internal examiner for students and an external for staff) or, if specified, all examiners, this will lead to a recommendation for award.

It is therefore important that, before they part after the viva, the examiners agree exactly what the student is required to do before resubmission. Where the recommendation is that the degree be awarded subject to minor textual changes, this will simply consist of a list of the corrections required, but where the thesis is referred for resubmission within six or twelve months, a more substantial list of changes/work to be done must be provided. It is vital that this is comprehensive – a student who has made all of the changes required by the examiners but who is then denied the award because of further deficiencies would have good grounds for appeal.

5.5.4 Commenting upon the Candidate’s Experience

External examiners are invited to make any relevant comments upon aspects of a candidate’s experience which they feel have been particularly good or which have raised problems. These should be addressed in a separate letter to the graduate school administration which will forward a copy to the relevant postgraduate dean for consideration.
6. Conclusions

The examiners are key figures in ensuring that the standards of research degrees meet the University’s criteria and are at least comparable with those in other UK Universities.

The University ensures that examiners of research degrees are of high standing in their discipline, and that they bring a knowledge and understanding of discipline-specific standards to their duties.

In performing those duties, the University expects that examiners will be rigorous and fair and that they will follow good practice, as set out above or in other ways.

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 that candidates meet the academic criteria for membership.

References

Guidelines for Assessment of the PhD in Psychology and Related Disciplines (Sheffield: ESRC and UCOSDA, 1995)
R.Murray, The Viva (University of Strathclyde: Centre for Academic Practice, 1998)

Acknowledgements

This Handbook has been authored by Dr Stan Taylor of the Academic Quality and Standards Section. The author would particularly like to acknowledge the contributions of Prof. M Atkins, Mrs K Hind, Prof. B Hirst, Prof. A O’Donnell, Prof. C Perriam, Dr E Ritchie, and Prof. P Taylor.
Entry Standards and Applications

7. The University defines the minimum standard for admission to research programmes as normally an Upper Second Class Honours degree in a relevant subject or a relevant Master’s degree. In the case of the MD, the minimum is an MB BS or equivalent medical degree together with appropriate experience. Exceptions to this are dealt with under the University’s policy for the accreditation of prior learning or experiential learning.

8. In addition, for candidates whose first language is not English, the University requires evidence of acceptable competence in the language to be submitted at the time of application.

9. All applicants are required to submit the names of two referees who can comment knowledgeably upon their suitability for doctoral study in the relevant field.

Selection of Research Students

10. In order to assist the match between student, research project, supervisor(s) and institution the University requires that there should be rigorous selection policies and procedures at the graduate school or, where appropriate, school or subject levels.

11. The University requires that criteria for selection should be put in writing. They should normally include:
   • evidence of the suitability of the candidate to undertake a doctoral programme, including, where appropriate, proficiency in the English language;
   • evidence of the suitability of the candidate to undertake a research project in the proposed field of study within the allotted time span;
   • evidence of the availability of a supervisory team which is qualified to supervise the candidate in the research project;
   • evidence of the availability of resources to support the candidate’s research project to a successful conclusion;

12. The University requires that selection policies and procedures should be put in writing. These should normally include:
   • a policy of involving at least two experienced and research-active academics in the selection process;
   • who have been trained in admissions;
   • who are fully cognisant with University and statutory policies on equal opportunities;
   • who are aware of the support infrastructure for students with special needs.
   • a policy of, wherever possible, interviewing applicants on a face-to-face basis by academic staff or, where appropriate, local agents for overseas applicants, by video link, or by telephone;
   • a policy of taking up two references and, if one or more of these is not available at the time of offer, making the latter conditional upon the receipt of satisfactory references
   • a statement of selection procedures;
   • target times of three weeks for making decisions on domestic applications and seven weeks for international ones.

Letters of Offer

13. Once it has been decided to accept a candidate, a formal offer has to be made, which can only be done by the graduate school. The letter of offer should be accompanied by:
   • information on fees and any other charges; the broad research topic and the length of study; the facilities and space to be made available to students; arrangements for their supervision; requirements upon them (including attendance, progress reports, contact, enrolment and registration); expectations in terms of academic and social conduct and performance, and requirements; the availability of research training; and direction to other relevant information, e.g. the institutional policy on IPR. Assurance should be sought from the student that he or she has sufficient financial support to complete the degree.

Induction into the University and the Graduate School

14. The University requires graduate schools to provide students with an appropriate induction programme within three months of registration to enable them to acquire an understanding of the academic and social environment within which they will be working.

15. The induction programme should include:
   • an introduction to the University including:
     • its history and development;
     • its postgraduate portfolio;
     • relevant regulations, policies and procedures relating to research degrees.
   induction into matters relating to students’ relationship with the institution including:
     • the University’s expectations of research students;
     • the challenges typically faced by research students;
     • institutional facilities available to students including the learning support infrastructure;
     • institutional provision for student welfare and other support arrangements;
     • complaints and appeals procedures.
   induction into matters relating to students’ relationship with the graduate school including:
     • nominated contacts for support and advice outside the supervisory team;
     • the specific facilities available to students within the graduate school including the learning support;
     • infrastructure;
     • provision within the graduate school for student welfare and other support arrangements.
   information about the opportunities to meet other research students and staff and about opportunities to broaden their knowledge through seminars, conferences, forums etc.

16. The University requires that the graduate schools monitor attendance at the induction programme.

Induction into the Programme

17. The University requires that graduate schools make appropriate arrangements for induction into the student’s programme of study. These should actively involve the designated main supervisor and include inducting students into:
   • the academic standards of the programme;
   • the intended learning outcomes;
   • the curriculum including the skills training programme and the research element;
   • methods of teaching and learning;
   • assessment;
   • regulations governing progression;
   • subject-related research codes and ethics;
   • programme-related health and safety requirements.
Learning Agreements

18. The University requires graduate schools to ensure that students have received, understood, and accepted the expectations of their research programme. The latter should be set out in a formal learning agreement, which should be signed by the student and by the main supervisor on behalf of the University.

The Development of Relevant Knowledge and Skills

19. The University requires that graduate schools should ensure that research training programmes offer students the opportunity to develop a relevant range of knowledge and skills, including skills for employment. It requires that the learning outcomes of such programmes are consistent with the JRC/AHRB skills statement.

20. The University requires that, for individual research students, graduate schools should make appropriate arrangements:

- to identify their training needs;
- to identify gaps;
- to provide opportunities for development;
- to record the development of skills in a research training portfolio;
- to ensure that students are introduced to relevant academic networks;
- to advise them on opportunities to attend seminars, and conferences;
- to encourage them to present papers;
- where appropriate, to encourage them to publish;
- to support career development.

21. The University requires that there should be appropriate access to formal research training programmes and to individual advice and support for all students, including those who are part-time, have special needs, or who are remote from the institution.

Research Students

22. The University requires that research students should inform their supervisors and the graduate school administration about any sponsorship they have received for their research projects and obligations in terms of reporting to sponsors on progress.

23. The University requires that research students should attend induction programmes.

24. The University requires that students should signify that they have received, understood, and accepted the expectations of their doctoral programme by signing a formal learning agreement with their main supervisor.

25. The University requires that research students should complete the research training programme and any prescribed taught courses, and successfully complete any assessments and/or examinations.

26. The University requires that research students, in conjunction with the supervisory team, agree a personal skills development programme. This should take into account their prior learning and experience, their needs in terms of study skills, the needs of their research project, and employment-related skills. It requires that doctoral students actively seek to acquire relevant skills. This should be reviewed annually with the supervisory team, and the student should maintain an up-to-date research training portfolio.

27. It requires that research students maintain regular contact with ‘main’ supervisors. The normal minimum requirement is that they should meet with the main supervisor at least once per month, and attend regular progress meetings with the supervisory team with a minimum frequency of three per year. In cases where the student is not able to meet these requirements because they are studying outside the University, e.g. in another organization as part of a CASE studentship or undertaking fieldwork, the student is required to agree an equivalent schedule of contacts with the main supervisor, using for example e-mail and videoconferencing.

The University requires that research students should record and confirm the outcomes of meetings.

28. Except where a research project has been approved and funded in advance of the allocation of a student, the University requires the student, with support from the supervisory team, to develop a formal research project proposal. This must be submitted to a review panel within the period of time prescribed by the relevant Graduate School.

29. The University requires that research students take responsibility for listening to, understanding, and accepting feedback from the supervisory team and the panel.

30. The University requires that students take responsibility for keeping their research project on track so that it is completed within the normal time-scale.

31. It requires that academic problems with the research project should be promptly brought to the attention of the main supervisor or the supervisory team so that they can provide support. It requires that non-academic problems with a bearing on the progress of the research (e.g. financial, social, domestic, or health problems) should be brought promptly to the attention of the main supervisor or supervisory team.

32. The University requires that, each year, students prepare a written progress report on the research project and submit it to a review panel. In addition, it requires that research students give a presentation on their research to the panel and undergo a viva.

33. It requires that research students contribute to the research environment by attending appropriate internal and external events, and give at least one formal presentation per year on their work. The University requires that these events are recorded in the student's research training portfolio.

34. The University requires that students be responsible for helping to improve research provision by providing feedback and through representation on relevant committees and decision-making bodies.

35. The University requires that research students abide by this Code of Practice.

Supervisory Arrangements

36. The University requires that supervision should normally be undertaken by a team consisting of a minimum of two members, both whom should be demonstrably research active. Where for any reason this is not possible, one supervisor with relevant skills and knowledge is acceptable provided that an independent adviser is appointed to whom the student can refer general academic and pastoral issues.

37. Within the supervisory team, the University requires that one member should be designated as the ‘main’ supervisor. The main supervisor:

- must be a member of the academic staff of the University;
- must have gained a doctoral degree or have equivalent experience of research;
- be demonstrably research-active;
- should normally have had previous experience of at least one successful supervision, defined as taking the student all the way through to a research degree award.

In cases where the main supervisor does not have such experience, the supervisory team must include another member who is a demonstrably active researcher with experience of at least two successful supervisions.

38. Staff who have not previously supervised research students are required to undertake appropriate initial training and development, while experienced supervisors are strongly encouraged to undertake continuing professional development.
39. The University requires that graduate schools maintain an up-to-date register of staff who are qualified to engage in research supervision.

40. The University requires that there are regular structured interactions between the student and the main supervisor with a minimum of at least 12 per year. In addition, it requires that there should be regular structured interactions with a minimum of at least three times per year with the supervisory team to report, discuss, and agree academic and personal progress. In cases where the student is not able to meet these requirements for any reason, the main supervisor is required to agree an equivalent schedule of contacts with the student, using for example e-mail and videoconferencing.

41. The University requires that graduate schools should establish a maximum period of absence for any member of the supervisory team, not exceeding three months, following which appropriate alternative arrangements will be made by the graduate school to ensure continuity of supervision.

42. In order to ensure that individual supervisors are not overloaded, the University requires that graduate schools set appropriate limits on the numbers of research students who may be supervised by a main supervisor, subject to a normal maximum of six. Where graduate schools allow main supervisors to take responsibility for more than six students, the University requires them to make arrangements to ensure that there will be adequate contact between student and supervisor and that the latter is not overburdened.

43. The University requires that the supervisory performance of individual staff is reviewed annually as part of performance development and review.

44. The University requires that all students have access to confidential advice and support from a nominated contact outside the supervisory team. It requires that graduate schools should designate such contacts, which should include the faculty postgraduate tutor and others at school and/or programme level as appropriate, and make this information available to students.

45. It also requires that all supervisors have access to confidential advice and support from a nominated contact, particularly where they have concerns about a student’s ability or application to the programme. It requires that graduate schools should designate such a contact, and make this information available to supervisors.

46. The University requires that all research supervisors adhere to this Code of Practice.

The Development and Approval of Research Project Proposals

47. Research project proposals may be developed prior to the recruitment of a student for purposes of obtaining funding or subsequently by the student following enrolment or the successful completion of the taught part of the programme.

48. Where project proposals have already been agreed and funded by the Research Councils or other major research sponsors, the University does not require that they are subject to further development or approval.

49. Where the research proposal is developed by the student, the University requires that the supervisory team supports the student in the development of the research project proposal. In particular, the team needs to ensure that the project is achievable within the time-scale of the programme, and to confirm that sufficient resources will be available to support it. The University requires that graduate schools should determine appropriate time-scales within which students are required to submit research project proposals, not exceeding nine months from registration.

50. The University requires that all research project proposals not previously approved by a funding body are approved by a panel appointed by the graduate school. It requires that the panel should consist of at least two independent members of academic staff with relevant skills and knowledge, at least one of whom should be demonstrably research-active and at least one of whom should have experience of successful supervision.

51. The University requires the panel to evaluate research proposals against the criteria:
   - that the project has clear aims and objectives;
   - that the student has (or can acquire) the knowledge, skills, and aptitudes to successfully complete the project;
   - that the proposed supervisory team has, or will be able to acquire, the skills, knowledge and aptitudes necessary to supervise the project to a successful conclusion;
   - that the project is suitable for the programme of study and for the award;
   - that it can be completed within the time-scale for the programme;
   - that sufficient resources will be available to complete the project.

In order to evaluate these matters, the panel will need evidence in the forms of:
   - a research proposal;
   - a research plan;
   - a supporting statement by the supervisory team.

52. The panel should consider the evidence and make a written report on the proposals, which should be made available to the student and to the supervisory team. In the event of concerns, the report should indicate the steps necessary to address them. The University requires that graduate schools should establish maximum times for the re-submission of proposals, not exceeding three months.

53. When the panel is satisfied on the above matters, it then approves the research project and the supervisory arrangements and notifies the graduate school office. The University requires the graduate school office to maintain a register of approved research topics and of supervisory arrangements.

Progression and Monitoring

54. The University requires that supervisory teams should formally monitor the progress of students on doctoral programmes through annual reports to the graduate school office. Where appropriate, reports on progress should be made to sponsors and copied to the graduate school office.

55. But if, at any point during the course of the programme, the supervisory team have concerns about progress, they should inform the student in writing prior to a meeting. At the meeting, the written comments of the team should be discussed with the student, and a plan of action should be agreed along with a review date. If progress continues to be unsatisfactory, the student should be informed in writing of the reasons and of the possible consequences in terms of being unable to progress, suspension, or termination of registration. The letter should be copied to the graduate school office.

56. The University requires that the progress of the student should be formally reviewed annually by the same (or equivalent) panel that approved the research project and the supervisory arrangements. Such reviews should involve one or more of a written progress report, a project presentation and viva by the panel, or an open presentation with critical feedback from their peers and staff in the subject area.

57. Panels should consider the evidence, including annual reports by supervisory teams, and determine whether progress indicates that the research project will meet the standards for the award.
58. If this criterion is met, the panel should recommend that, in the case of a student registered initially for a MPhil, he or she should be upgraded to a PhD at the end of the first year, or if a candidate is registered for a PhD in any year, that their registration should be continued.

59. If this criterion is not met, the panel should investigate the circumstances. It should establish the reasons why progress has been insufficient to meet the standards for the award, and indicate what the student and, where appropriate, the supervisory team must do to put the research project back on track. It should set a date for further review within a period prescribed by the graduate school, and not exceeding two months.

60. Panels should provide a written report to the graduate school with copies to the research student and the supervisory team. In the event of the panel being unable to make a recommendation to progress, the student and the supervisory team should determine an action plan to ensure that the research project will meet the standards of the award by the date set for further review.

61. The panel should reconvene on the date set and consider whether progress has been such that the research project will meet the standards for the award. Where the evidence has demonstrated this, the panel should recommend upgrading or continuation as appropriate.

62. Where the evidence does not demonstrate that the research project will meet the standards for the award, the panel’s recommendations will depend upon its judgement of the reasons in terms of the potential of the student to achieve the standards and the adequacy and appropriateness of supervisory arrangements.

63. Where it is not satisfied that supervisory arrangements are adequate and appropriate, but considers that the student will be able to achieve the standards of the award, it may recommend the replacement of all or part of the supervisory team. In such cases, it should indicate in writing the steps required to ensure that the research project will meet the standards of the award and a date for further review. Its report should be made available to the student and the new supervisory team, who should determine an action plan to put the research project back on track by the date for further review.

64. Where it is satisfied that supervisory arrangements are adequate and appropriate but that the student is unlikely to be able to achieve the standards for the award, it may recommend that the student be registered for a lower degree where he or she is likely to be able to achieve the standards or, if students cannot meet the standards for those awards, that their registration be terminated.

65. The final decision with respect to any recommendation is taken by the postgraduate dean or other relevant body, e.g. the graduate school progress committee.

Examination

66. The regulations of the University require that all research degrees are examined by two examiners, one internal and one external (except in the case of staff candidates where both examiners are external).

67. The University requires that examiners should be demonstrably research-active in relevant fields. Examiners should be independent of the project and otherwise meet the criteria set out in the University’s Handbook for Examiners of Research Degrees. Members of the supervisory team are explicitly excluded from acting as examiners, except as provided for under University Regulation V.31, in which case an additional external examiner is appointed.

68. The University requires that heads of school should be responsible for the nomination of examiners for research degrees. Heads of school should consult the supervisory team about possible nominees, and the supervisory team should offer the student the chance to comment.

69. Nominations should be made to the postgraduate dean of the faculty. He or she should check that the examiners meet the requirements set out above and, if so, approve them subject to ratification by Senate.

70. Once nominations have been approved, the graduate school office should be notified and send a letter of appointment along with relevant information including institutional assessment criteria for the award and the University’s Handbook for Examiners of Research Degrees.

The University offers examiners the opportunity for training.

71. The supervisor should agree in writing the date, time and place with the examiners and candidate and notify the graduate school office which then notifies the candidate. Candidates should be asked whether or not they wish to have the main supervisor present in the viva as a non-contributing observer (unless asked to contribute by the chair). If not present, the ‘main’ supervisor should be available for consultation.

72. The University requires the supervisory team to advise the student on preparation for the viva and to offer at least one practice session.

73. The University requires that, prior to the viva, examiners make preliminary written independent reports on the thesis, which should be sent to the graduate school office.

74. The University requires that vivas should be chaired by the external examiner and conducted in accordance with the procedures set out in the Handbook for Examiners of Research Degrees.

75. Following the viva, the University requires that examiners write a joint report (except in cases where they disagree when should write separate reports) and make an appropriate recommendation in respect of the award. Where the recommendation is resubmission, the report should include a statement of the work to be done to achieve the award within the period allowed under the University’s regulations.

76. As well as reporting on the thesis and the candidate, examiners should be requested to provide comments on the broader issues of the research training and the environment.

77. The examiners’ report should be sent to the graduate school office which sends copies to the student, the supervisory team, the postgraduate dean, and the Academic Office.

Feedback Mechanisms

78. The University requires that graduate schools establish and operate confidential mechanisms for research students to feed back on the quality of their learning experiences. Such mechanisms should include; a questionnaire administered within three months of enrolment and asking about recruitment, admission and induction processes; questionnaire evaluations of the research skills training programme; an annual surveys (questionnaires and/or focus groups); exit questionnaires and/or interviews about the totality of the learning experience.

79. Graduate schools should also actively seek feedback from other stakeholders, including supervisory teams, review panels, examiners, funders, collaborative organizations, employers and alumni.

80. Feedback from these should be considered by Graduate Schools and, where appropriate, acted upon.

Complaints

81. The University has established procedures for complaints about a service, member of staff, or another student. A complaint may be made by any student, including a research student. Details of the complaints procedure are set out in the Handbook for Research Supervisors and Students given to all research students and on the University’s website (see www.ncl.ac.uk/spo).
82. The University requires that, before having recourse to the complaints procedure, a student should attempt to resolve a problem with the individual(s) concerned or consult the personal tutor, research supervisor, head of school, or postgraduate tutor for help and advice. Only when these steps have failed or when the student has good cause for not pursuing them should the complaints procedure be invoked.

83. The University requires that the complainant should complete the Student Complaint Form which is available on the above website or from the Student Progress Section. The complaint should be named on the form, as the University is unable to act upon anonymous complaints. The completed form should be submitted for the attention of the head of the Student Progress Section. The University requires that this should normally be done within 12 months of the complaint arising.

84. The University requires that the head of the Student Progress Section or his or her nominee (hereafter the Complaints Officer) acknowledges receipt within seven days.

85. The Complaints Officer will invite the complainant to discuss the matter. The complainant has the right, if they so wish, to be accompanied by a friend or advisor. Subject to the express consent of the Complaints Officer, the friend or advisor may contribute to the discussion.

86. The Complaints Officer will determine whether the complaint merits detailed investigation or whether there are other avenues with which he or she could assist the student to explore.

87. The University requires that, if the complaint is to be taken further, the consent of the complainant is required. If the complainant does not consent to further investigation, the University is unable to regard the complaint as valid. In such cases, the Student Progress Section keeps a confidential record of the details on file for 12 months.

88. If it is decided that the complaint merits investigation, this will be undertaken by the Complaints Officer who will consult the head of school, postgraduate tutor, senior tutor, and any other personnel likely to be helpful in resolving the matter.

89. The Complaints Officer will decide whether it is possible to resolve the matter between the parties concerned or whether further action is required.

90. If further action is required, the matter is referred to the Pro-Vice Chancellor (Teaching and Learning). She or he will make appropriate arrangements for any further investigation or information to be gathered. Where complaints relate either to the Student Progress Section or to the Pro-Vice-Chancellor, the Academic Registrar will make arrangements for senior officers from separate sections to deal with the matter.

91. The University requires that all information which a complainant or other person provides in the investigation of a complaint should be treated as strictly confidential by officers and by the complainant. It recognizes that, to investigate a complaint, it may be necessary to divulge information to individuals. It requires that such a course of action should only be undertaken with the consent of the complainant.

92. In the light of the outcome of the investigation, appropriate action will be taken by the Pro-Vice-Chancellor to resolve the matter. This may include the initiation of formal disciplinary action against a member of staff or a student under the University’s disciplinary procedures.

93. The University requires that the investigation be undertaken as quickly as the particular circumstances permit and certainly within six weeks from the receipt of the Complaints Form.

94. The University requires that as soon as possible the Complaints Officer notifies the complainant of the outcome and of any consequential action to be taken.

95. Where the complainant is not satisfied about the outcome of a complaint which has been investigated, he or she may appeal in writing to the Academic Registrar. If the latter considers there to be grounds for the appeal, he or she may make arrangements for the reconsideration of the complaint.

Any further action is decided by the Academic Registrar, and his or her decision is final and exhausts the University’s internal complaints procedure.

96. If a student still remains dissatisfied, he or she may appeal to the University Visitor, who can review the way in which the case has been handled and the outcome.

97. The University requires that the head of the Student Progress Section makes an annual report to University Teaching and Learning Committee of all complaints. The report includes the number of complaints made, the numbers upheld and rejected, the nature of the matters raised and any remedial action recommended and taken, and the gender and ethnic origin of complainants.

Appeals

98. The University has established procedures for appeal against a recommendation by examiners of research degrees. Details of the appeals procedure are set out in the Handbook for Research Supervisors and Students and on the University website (see www.ncl.ac.uk/spo).

99. The University has defined grounds for appeal as being: that the examiners were not aware of circumstances affecting the appellant’s performance; procedural irregularities on the part of the examiners; inadequate assessment by an examiner or examiner; bias or prejudice on the part of an examiner or examiners. It requires that appeals be made on one or more of these grounds.

100. The University requires that appeals should be made on the Academic Appeals Application Form which is available from graduate schools and the Registrar’s Office and is on the University’s website. It requires that a completed form and any supporting documentation should be submitted within 14 days of the notification by the Registrar’s Office of the examination results of the appellant and that any further supporting documentation not available at the date of submission should be lodged within 28 days. A late appeal will only be accepted if, on referral to the Chair of the Appeal Panel, he or she is satisfied that there were circumstances which made it reasonable for the appellant not to have applied within the 14 day period.

101. Once an appeal is received, the Head of the Student Progress Section appoints an Appeal Officer. The Registrar or his or her nominee appoints a Chair of the Appeal Panel who is a Provost or Dean (or nominee) from a faculty other than the one in which the appellant has studied. The Appeal Panel also includes the Appeal Officer, who advises on procedure, case law, and precedents, and the Chair may co-opt further independent members of academic or administrative staff as appropriate.

102. If the Chair of the Appeal Panel determines in consultation with the Appeal Officer that the application is vexatious or frivolous, then the application is rejected and the student informed in writing why the application has been judged an abuse of process.

103. In other cases, the Appeal Officer shall seek comments from appropriate members of staff. Those from whom responses are sought will be provided with the letter of appeal. If the Appeal Officer deems it appropriate that those members of staff should receive any or all of the supporting documentation provided by the appellant, the University requires that the appellant’s permission is sought before documentation is released.

104. Once comments have been sought, the Appeal Panel will investigate the appeal, and seek any further information necessary for it to reach a decision. Where deemed appropriate, the Panel may invite the appellant and any other parties to a hearing, at which any person may be accompanied by a friend or representative. The University requires that the Appeal Officer provides the appellant, as soon as is practicable, with relevant case papers in accordance with the Data Protection Act 1998, together with written advice about the general nature of hearings. The conduct of the hearing is decided by the Chair of the Appeal Panel.
105. The University requires that the Appeal Officer keeps the appellant informed of the progress of the appeal. A progress report (or outcome if decided) will normally be provided within 28 days of receipt of the appeal and subsequent reports provided at intervals of no more than 28 days.

106. The Appeal Panel may decide that there is no justification for referring a case back to the examiners. The University requires that the Appeal Officer should write to the appellant informing him or her that the original decision of the examiners should be allowed to stand and providing an outline of the reasons.

107. Reviews of the decision of an Appeal Panel that there is no justification for referral may only be requested on the ground of procedural irregularities. The University requires that a review application should be made within 28 days of the notification of a decision. The review application should be made directly to the Vice Chancellor, and will be considered by him or her or by a nominated Pro-Vice-Chancellor. The latter may dismiss the application if there is no prima facie case on the specified grounds. If there is a prima facie case he or she may seek any evidence necessary to reach a decision, and decide whether to reject the application or accept it. If the application is dismissed or rejected, this exhausts the University’s appeal procedures, although appellants may make a case to the Visitor. Where the Vice Chancellor or nominated Pro-Vice-Chancellor sees merit in the appeal, he or she can instruct the Appeal Panel to remedy the procedural deficiency and reconsider its decision, or require a new Panel to consider the case afresh.

108. The Appeal Panel may decide that there is justification in the appeal. The Panel may decide to (i) ask the original examiners to reconsider their decision on the basis of stated grounds and the provision of relevant evidence or (ii) give the appellant permission to revise the thesis and resubmit it to the original examiners within a specified time limit in accordance with the normal procedure for resubmission or (iii) declare the original examination null and void and require the head of school to nominate two new external examiners to re-examine the appellant’s dissertation or thesis. In cases where an appeal is upheld on grounds of prejudice or bias, (iii) is the only possible outcome. The Appeal Officer should inform the appellant of the Appeal Panel’s decision.

109. Where examiners are asked to reconsider, they have the discretion to confirm or to alter their original decision. When new examiners are appointed, they are told that they are conducting a re-examination on appeal but given no other details.

110. The decisions of examiners on reconsideration of a candidate’s performance or a re-examination should be reported to the Examinations Office and the Appeal Officer.

111. The University requires that the Appeal Officer should inform the appellant in writing, normally with seven days of the receipt of the report, of the outcome of the reconsideration and of the reasons for the examiners’ decision.

112. The decision of the examiners is final.

113. The University requires that all appellants should normally be informed of the outcomes of their appeals within four months of the submission of the complete appeal.

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.

Students are sometimes unclear as to what use may be made of the work of others in the field without raising concerns about plagiarism. Any student who is in doubt on this matter should consult his or her tutor or supervisor. In most cases, the adoption of appropriate standards of scholarship will avoid any such concerns. The following general guidelines may assist:

1. Passages copied verbatim from the work of another must be enclosed in quotation marks. A full reference to the original source must be provided. The substitution of a few words in an otherwise verbatim passage will not obviate the need to use quotation marks and to provide a full reference.

2. Students must always give due acknowledgement to the sources of ideas or data which are not their own and are not truly in the public domain (for example, because they are novel or controversial) or are not widely held or widely recognized.

3. Ideas and data which are the student’s own or are truly in the public domain may be included without attribution, but should be expressed in the student’s own words.

4. Students must take care to distinguish between their own ideas or work and those of others. Any ambiguity in such a distinction could give rise to a suspicion of plagiarism.

5. Where the student’s work is the result of collaborative research, the student must take care to acknowledge the source of data, analysis or procedures which are not their own. Students who are suspected of having made the unacknowledged use of another person’s ideas, words or work in 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.

Guidelines on External Funding – RIS Input

Research and Innovation Services (RIS) can assist research supervisors in the following areas:

- Negotiation of research studentship funded projects with external organizations.
- Advice on student intellectual property issues including assignment of Intellectual Property to the University.
- Advice on other contractual obligations relating to confidentiality, publication, reporting.

Full information on these and other information relating to studentships can be found on the Research and Innovation Services website at www.ncl.ac.uk/ris/central/pages/resources/wallen/research_studentships.htm

The RIS website also has details of who to contact in Research and Innovation Services.

Advice for Collaborative Studentships

ESRC document ‘On the Case’ (E Bell and C Read, 1988)
The full, very comprehensive document is available from the relevant graduate school or the Student Progress Section. The contents of the full document are listed below:

SECTION 1
- Introduction: where it all started
- The growth of collaborative research
- The ESRC perspective

SECTION 2
- The beginning: principal issues in setting up a collaborative studentship
- Understanding non-academic organization perspectives
- Developing and setting the standards of the research project
- Intellectual property rights arising from the research
- Public dissemination of research results/confidentiality issues
- Recruiting the student

SECTION 3
- Up and running: managing and monitoring a collaborative studentship

What to do when your research nears completion ...

Submission of Thesis
Approximately three months prior to the completion of your thesis you need to submit a form for the approval of your thesis title to your supervisor. (The form can be collected from your graduate school). Your supervisor will also use this form to begin the process of appointment of your examiners. You are advised to ensure that debts are cleared in advance of submitting this form.

When you submit two soft bound copies of your thesis to the graduate school, you will be required to complete a Research Degree Examination Entry form. This form has a declaration from you regarding your work and will be used to check that all your financial obligations to the University have been met.

Once your soft bound thesis have been received by the graduate school they will be forwarded to your examiners with copies of regulations and forms for their reports.

Your supervisor will arrange the viva date, in consultation with the examiners and yourself.

The graduate school will inform you of the result of your examination, and give details of any revisions that may be required along with the deadline for your resubmission.

Once you have been informed in writing by the graduate school that the examiners have agreed that you have met all the conditions for your award, you will be asked to submit two hard bound copies of your completed thesis. You will need to also complete the British Library forms at this time. When these are submitted to the graduate school your passlist will be produced and you will be asked to complete the forms for your congregation where your award will be conferred.

Conferment of Degrees
When the passlist is produced you will become eligible to graduate with your research degree. Congregations are held in May, July and December each year for the conferment of a higher degree. When passlists have been produced, students will be invited to apply to graduate at the next available ceremony. Students need to apply to be included in a particular ceremony. You will not be entitled to describe yourself as holding a degree unless this has been awarded either 'in person' or 'in absentia' at a Congregation as a result of your application. If you do not make an application, your degree will not automatically be conferred and your degree parchment will not be issued. For further information on any aspect of Congregations, please refer to the Congregations website: www.ncl.ac.uk/congregations or contact Mrs Dawn Gray, Congregations Administrator, telephone: 0191 222 6225.
Leadership and co-operation in research groups conducted in accordance with good research practice. It applies to staff, honorary staff, students and visiting workers. 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.

1 Integrity and honesty

1.1 Researchers should be honest in respect of their own actions in research and their responses to the actions of other researchers. This applies to the whole range of research work, including experimental design, generating and analysing data, acting as a reviewer or referee on grant applications or research papers etc, applying for funding, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators and others.

1.2 Plagiarism, deception or the fabrication or falsification of results, are regarded by the University as serious disciplinary offences.

2 Research misconduct

2.1 The University takes seriously any allegation of research misconduct and has a written procedure for investigating and resolving such allegations.

2.2 Researchers are encouraged to report cases of research misconduct and to do so in a responsible and appropriate manner. (Please refer to the University’s Policy on Research Misconduct.)

3 Leadership and co-operation in research groups

3.1 The Vice-Chancellor, Pro-Vice-Chancellors, Provosts, deans of research, heads of schools, directors of research institutes and centres, professorial and all other senior staff are responsible for creating a climate which allows research to be conducted in accordance with good research practice.

3.2 Leaders of research groups have responsibility to ensure that a climate of mutual co-operation is created in which all members of the research team are encouraged to develop their skills and in which both the open exchange of ideas and supportive criticism is fostered.

3.3 Research group leaders must also ensure that appropriate direction of research and supervision of researchers and research students is provided.

4 Openness

4.1 While recognizing the need for researchers to protect their own and the University’s research interests in the process of planning their research, obtaining and publishing the results, and seeking to develop the outcome of their research into application (where relevant), the University encourages researchers to be as open as possible in discussing their work with other researchers, and with the public.

4.2 Once results have been published the University expects researchers to make available relevant data and materials to other researchers on request, provided that this is consistent with any ethics approval and consents which cover the data and materials and any intellectual property rights in them.

5 Guidance from professional bodies

5.1 Researchers are expected to observe the standards of research practice set out in guidelines published by funding bodies, scientific and learned societies and other relevant professional bodies.

5.2 All researchers should be aware of, and comply with, the legal requirements which regulate their work.

6 Ethical approval

6.1 Researchers whose work involves human participants or human biological samples are expected to comply with local or multi centre research ethics committee requirements and to understand any other requirements of regulatory bodies relating to their work. For further information see the staff handbook.

7 Documenting results and storing primary data

7.1 There should be clarity at the outset of the research programme as to the ownership of, where relevant: data and samples used or created in the course of the research; and the results of the research.

7.2 Researchers should keep clear and accurate records of the procedure followed and the approvals granted during the research process, including records of the interim results obtained as well as the final research outcomes. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained.

7.3 Data generated during the course of research should be kept securely in paper or electronic format as appropriate and retained for a minimum of 10 years (or longer where there is a legal requirement governing retention).

7.4 Back up records should always be kept for data stored on a computer.

7.5 Data collected and stored must comply with any legal requirements such as the Data Protection Act.

8 Publishing results

8.1 Results should be published in an appropriate form, usually as papers in refereed journals or other publicly accessible form.

8.2 Researchers should have regard to the commercialization potential of their work and take appropriate steps to advise the University of any inventions and, where appropriate, take steps to protect any intellectual property prior to publication.

8.3 Whilst the publication of the results of research may need to be delayed for a reasonable period pending protection of intellectual property arising from research, such periods of delay in publication should be kept to a minimum.

8.4 Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution to it. The practice of honorary authorship is unacceptable.

8.5 Whilst the University encourages the communication of research to the wider public, any disclosure to the popular media should endeavour to place the research in its appropriate context and care should be taken not to exaggerate the impact of any findings.

9 Use of results

9.1 Where appropriate, researchers are expected to maximize the prospects of research being taken into practice through the commercial route by protecting intellectual property (IPR).

9.2 Where a commercial route is not appropriate then it is expected that researchers will take appropriate steps to ensure that research findings are transferred to relevant user communities.
10 Acknowledging the role of collaborators and other participants

10.1 The contributions of formal collaborators and all others who directly assist or indirectly support the work should be properly acknowledged.

11 Managing Research Projects

11.1 Researchers have a responsibility to ensure that they, and all those involved in the project, are fully aware of the terms and conditions of grants and contracts and the implication of these in relation to their research projects.

11.2 Lead researchers have a responsibility to ensure that all staff and students working on projects are made aware of, and adhere to, this Code of Good Practice.

12 Conflict of interest

12.1 Researchers should declare and manage any real or potential conflicts of interest, both financial and professional. These might include:

- where the researchers have an existing or potential interest in the outcome of the research;
- where there is a private or private practice benefit significantly dependant upon the outcome of the research;
- where the researcher’s professional or personal gain arising from the research may be more than might be usual for research.

The University will shortly be publishing a further statement on Conflicts of Interest.

This code of practice is consistent with, and is drawn from codes of good research practice published by the BBSRC, MRC, the Wellcome Trust, and the Guidelines from the Association of Medical Research Charities.

See also: Part Six of this Handbook – the Policy and Procedure for Investigating Allegations of Research Misconduct
PART SIX

Academic Matters

Policies and Procedures

The University has a range of 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 and the access to full details published here, should any of them be required.

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procedure for Assessment Irregularities</td>
<td>96</td>
</tr>
<tr>
<td>Appeals Procedure</td>
<td>99</td>
</tr>
<tr>
<td>Policy on Dignity at Work and Study (Code of Practice for Staff and Students)</td>
<td>101</td>
</tr>
<tr>
<td>Race Equality Policy</td>
<td>105</td>
</tr>
<tr>
<td>Policy and Procedure on Public Interest Disclosure</td>
<td>106</td>
</tr>
<tr>
<td>Student Disciplinary Procedures</td>
<td>108</td>
</tr>
<tr>
<td>Student Complaints Procedure</td>
<td>114</td>
</tr>
<tr>
<td>Withdrawing from the University</td>
<td>115</td>
</tr>
<tr>
<td>Policy for Intellectual Property and Research Studentships</td>
<td>116</td>
</tr>
<tr>
<td>Policy and Procedure for Investigating Allegations of Research Misconduct (for staff)</td>
<td>118</td>
</tr>
<tr>
<td>Copyright License Agreement</td>
<td>121</td>
</tr>
<tr>
<td>Student Complaint Form</td>
<td>123</td>
</tr>
</tbody>
</table>
Procedure for Assessment Irregularities

This procedure, amended by Senate on 24th June, applies to all cases of misconduct committed after 1st August 2003.

Impartial advice about these procedures may be sought from the Student Progress Section of the Academic Office, the Students' Union or from the Student Advice Centre (Students' Union).

Introduction

1. The University is committed to ensuring fairness in assessment and has established this procedure for dealing with assessment irregularities.

2. For the purposes of this procedure, an assessment irregularity involves the use of improper means by a candidate in the assessment process. This includes, but is not limited to, the following:
   - Copying from or conferring with other candidates or using unauthorized 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 for the purpose of this procedure as the unacknowledged use of another person’s ideas, words or work 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.

3. The assessment irregularity procedure has two aspects: the academic and the disciplinary. The leading principle guiding the academic response is to disregard that part of a candidate’s work either verbatim or in substance, which has been unacknowledged. The University reserves disciplinary power for all cases of misconduct and, in a case involving the use of improper means, the issue of disciplinary proceedings arises in principle.

[See also the University’s Guidelines for Research Students, and the University’s Notice to Students on Academic Conduct, both available from the Student Progress Section, 6 Kensington Terrace]

Confidentiality

All University staff and students involved in any investigation into an alleged assessment irregularity by a candidate have a duty of confidentiality to the candidate to limit disclosure to those who need to know.

Definitions

In this procedure the following terms are to be given the meaning assigned below:

Chairman of Board of Examiners: the Chairman of the Board of Examiners for the degree, diploma, certificate or other programme for which the candidate is registered. In cases of alleged assessment irregularities on the part of postgraduate research students, the relevant Dean of Postgraduate Studies shall be regarded as equivalent to the Chairman of the Board of Examiners for taught programmes.

Academic Registrar: the Academic Registrar or nominee

Student Disciplinary Committee: the Committee established in accordance with Senate Minute 43 of 3 December 2001

Disciplinary Appeals Committee: the Committee established in accordance with Senate Minute 43 of 3 December 2001.

Disciplinary Convenor: a member of academic staff appointed by Senate to convene Disciplinary Committees and Disciplinary Appeal Committees.

Part I of Procedure (Academic)

1. Action to be Taken By the Person Discovering a Suspected Irregularity

   a) In an Examination Room

   i) Where a suspected irregularity is discovered by an invigilator in an examination room during an examination, the invigilator shall remove the candidate from the room and inform the candidate of the nature of the suspicion. The invigilator shall inform the candidate that the matter will be reported to the Examinations Officer. The invigilator shall make a note of the questions answered in whole or in part at the relevant time and any illicit material in the candidate’s possession shall be confiscated. The candidate shall be permitted to return to the examination room to complete the rest of the examination. The invigilator shall make a written report to the Examinations Officer.

   ii) If, on the basis of any written statement and any other evidence available, the Examinations Officer determines that there is clear prima facie evidence that an irregularity has occurred, the Examinations Officer shall immediately refer the matter to the Academic Registrar to confirm whether disciplinary procedures should be immediately pursued. The Examinations Officer shall then advise the Chairman of the Board of Examiners of the circumstances leading to the referral to the Academic Registrar. If disciplinary action is confirmed by the Academic Registrar, the Chairman of the Board of Examiners shall be asked to apply paragraph 2, sub-paragraphs (e) (ii), (iv), (v) and (vi) below.

   iii) All other suspected assessment irregularities identified in an examination room will, on the basis of any written statement and any other evidence available, be referred by the Examinations Officer to the Chair of the Board of Examiners.

b) Outside an Examination Room

Where a suspected irregularity is discovered outside an examination room, for example when an examination script or assessed coursework is being marked, the person who discovers it shall make a written report to the Chairman of the Board of Examiners.

2. Action to be Taken by the Chairman of the Board of Examiners

a) On receipt of a written report of a suspected assessment irregularity, the Chairman of the Board of Examiners shall investigate the alleged irregularity. In so doing, the Chairman shall invite the candidate to submit a written statement and may require written statements from witnesses.

b) If, on the basis of any written statement and the evidence, the Chairman is satisfied that no irregularity has taken place, the candidate shall be so informed by the Chairman in writing and no further action shall be taken.

c) If, on the basis of any written statement and the evidence, the Chairman determines that there is a prima facie case that an irregularity has occurred, the candidate shall be interviewed in
the presence of another academic colleague. The candidate shall be given the opportunity to be accompanied at the interview by the candidate's tutor or another person.

d) If following the interview the Chairman is satisfied that no irregularity has taken place, the candidate shall be so informed by the Chairman in writing and no further action shall be taken.

e) If following the interview the Chairman determines that an irregularity has taken place, the Chairman shall:

    i) Inform the candidate in writing that a report on the matter will be made to the Academic Registrar.

    ii) Instruct those marking the assessment(s) in question that an academic mark should be returned for that part of the work which is the candidate's own, disregarding any work constituting an assessment irregularity.

    iii) Make a written report on the matter to the Academic Registrar, attaching all written evidence gathered during the Chairman's investigation, and describing how the academic mark(s) for the assessment(s) in question has or have been determined.

    iv) Inform the Board of Examiners when it meets of the following:

        a) The academic consequences of the irregularity. The Chairman shall explain that any part of the assessed work amounting to an assessment irregularity has been disregarded for marking purposes.

        b) Where the Student Disciplinary Committee has determined the case, any academic sanctions that the Student Disciplinary Committee has imposed. In such a case, the Chairman shall ensure that the academic sanctions imposed by the Student Disciplinary Committee are applied by the Board and that the minutes of the meeting of the Board record the decision of the Student Disciplinary Committee.

        c) Where the Student Disciplinary Committee has not yet determined the case but a hearing is pending, advise on the possibility that the Student Disciplinary Committee may impose further academic sanctions. The Chairman shall advise the Board that it may not itself impose any academic sanctions and that, if a Student Disciplinary Committee does so, any consequential change to the candidate's results will be ratified by Chairman's action.

        d) Where a disciplinary hearing is pending, ensure that the mark sheets and minutes of the meeting of the Board of Examiners returned to the Examinations Office make it clear that the results of the candidate are provisional and shall not be published as long as a disciplinary hearing is pending.

        [Note: if, as a result of the time the investigation into the alleged irregularly takes, the candidate's results cannot be published in time for the graduation ceremony, that is a consequence the candidate must accept]

        e) Where a Student Disciplinary Committee is established to consider the case, advise the Committee on the consequences of any academic sanctions which it might be considering.

Part II of Procedure (Disciplinary)

1. Action to be Taken by the Academic Registrar

a) On receipt of a report from the Chairman of a Board of Examiners or the Examinations Officer, the Academic Registrar shall determine whether there is a disciplinary case to answer. In order to do this, the candidate shall be invited to submit a further written statement and the Academic Registrar shall gather such further written evidence as is deemed necessary.

b) If, on the basis of any further written statement and the evidence, the Academic Registrar is satisfied that there is no disciplinary case to answer, the candidate and the Chairman of the Board of Examiners will be so informed in writing and no further action shall be taken.

c) If, on the basis of any further written statement and the evidence, the Academic Registrar determines that there is a prima facie case of misconduct established, the candidate shall be given the opportunity to be interviewed in the presence of an administrative colleague. The candidate shall be given the opportunity to be accompanied at the interview by the candidate's tutor or another person.

d) If following the interview the Academic Registrar is satisfied that there is no disciplinary case to answer, the candidate and the Chairman of the Board of Examiners shall be informed by the Academic Registrar in writing and no further action shall be taken.

e) If following the interview the Academic Registrar determines that there is a disciplinary case to answer, the Academic Registrar shall

    EITHER

    i) Issue a written warning to the candidate about future conduct in relation to academic assessment. Where a candidate has previously received a warning relating to academic assessment, or where the Academic Registrar otherwise deems it appropriate, the candidate may receive a final warning. The warning shall be copied to the Chairman of the Board of Examiners;

    OR

    ii) Refer the case to the Student Disciplinary Committee for a disciplinary hearing and inform the candidate and Chairman of the Board of Examiners in writing that a disciplinary hearing is to be held. Pending the hearing, the Academic Registrar may temporarily suspend a student from the University or from such facilities as the Academic Registrar shall determine. In such a case, the decision to suspend a student shall be reviewed by the Academic Registrar after every two week interval, and the Committee shall hear the case, where reasonably practicable, within four weeks.

2. Student Disciplinary Committee

a) The Disciplinary Committee shall comprise three members drawn from the staff members of the Disciplinary Panel from time to time appointed by Senate. A Disciplinary Convenor, formally appointed from time to time by Senate, shall be responsible for appointing a Disciplinary Committee for each case, and shall specify which of the three members shall act as Chairman. The members of the Committee shall be members of academic staff selected by reason of their experience of examining. The Academic Registrar shall provide such secretarial and administrative support as is reasonably necessary.

b) The Academic Registrar shall not be a member of any Disciplinary Committee, but shall be responsible for the preparation and presentation of the charge or charges before the Committee except that in the case of assessment irregularities reported to the Academic Registrar by the Examinations Officer, the Examinations Officer may present the charge(s) to the Committee on behalf of the Academic Registrar. The Academic Registrar shall inform the student(s) concerned in writing of the
allegations and shall inform the student(s) that the case is to be heard by a Disciplinary Committee. A member of administrative staff who has had no involvement in the case shall be appointed as secretary to the Committee and shall be responsible for sending the student(s) any relevant documents, and generally for the proper presentation of the case before the Committee.

c) If the Committee is satisfied that the assessment irregularity does not amount to misconduct, no further action shall be taken against the candidate but the academic consequence of the assessment irregularity shall not be affected.

d) If the Committee is satisfied that the candidate committed an act of misconduct, one or more of the following sanctions may be imposed:

   i) A warning, orally and in writing, about future conduct. Where a candidate has previously received a warning, or where the Committee deems it appropriate, the candidate may receive a final warning.

   ii) Notwithstanding the academic consequence of an assessment irregularity, such academic sanction as is deemed appropriate by the Committee. In determining whether or not an academic sanction is appropriate, the Committee shall, in order to inform its decision, invite the Chairman of the Board of Examiners to attend the hearing to explain the consequences under the candidate’s examination conventions and degree regulations of possible different academic penalties. Where an academic sanction is under consideration, marks returned to the Board of Examiners shall be disclosed to the candidate and the Committee.

   iii) Suspension from the University or such part or parts as may be specified.

   iv) Expulsion from the University.

e) A student expelled or suspended as a result of disciplinary proceedings shall have no right to a refund of fees.

f) The Secretary to the Student Disciplinary Committee shall inform the candidate and the Chairman of the Board of Examiners in writing of the Committee’s decision.

3. Appeals Against the Decision of the Student Disciplinary Committee

A student wishing to appeal against a decision made under these procedures shall follow the appeals procedure set out in Appendix I.

4. General Provision for the Conduct of Hearings

In all proceedings before the Academic Registrar or Disciplinary Committee or Disciplinary Appeals Committee, the Academic Registrar or Committee shall take evidence and receive submissions, either in writing or in person, and consider the allegation and all other circumstances which appear to them to be relevant. The Academic Registrar or Committee may take evidence from such other persons as they think fit in order to reach a decision. In cases in which a student is appealing against the decision of a Disciplinary Committee, the Academic Registrar, or his nominee responsible for the presentation of the original case, shall attend to outline the case. The student shall, in all cases, have the right to attend and present their case, and to be present and be heard during the hearing. The student may be accompanied by a friend or representative and shall have the right to be informed of all the evidence. In all other respects, the conduct of the hearing shall be a matter for the Chairman to determine. The student and any other persons present, except, where appropriate, the secretary to the Committee, shall withdraw whilst the decision is reached.

Appendix I: Assessment Irregularities Procedure – Appeals

A student wishing to appeal against a decision under the Assessment Irregularities Procedure shall follow the procedure set out below. Where the decision against which a student is appealing involves partial or full suspension or expulsion, the student shall, subject to this paragraph, be permitted to attend that part or all of the University, as appropriate, while the appeal is being determined. Students may apply for permission to attend if they can demonstrate that it would be unreasonable to deprive them from attending their programme of study pending the appeal. Grounds for such an appeal may include, but are not limited to, a change in circumstances since the disciplinary hearing or the fact that the timing of an appeal hearing means that a successful appellant will be prevented from returning to study immediately because of the University’s General Regulations governing registration. Applications shall be made to the Academic Registrar who may refuse or grant permission to attend the University and may, if granting permission to attend, limit attendance to specific locations and/or times.

a) An appeal shall be lodged within 15 working days of receipt of the decision of the Academic Registrar or Disciplinary Committee to the Head of the Student Progress Section. The Appeal shall be in writing and shall specify the grounds of appeal which may only be one or more of the following:

   i) That fresh material evidence is available, which was not available on reasonable enquiry or application at the time of the original hearing;

   ii) Procedural irregularity;

   iii) Bias or prejudice;

   iv) Excessive or inappropriate punishment.

b) The appeal may be brought by the student or by the Academic Registrar or their nominee in the case of an appeal against the Academic Registrar or their nominee. The Appeal shall be accompanied by supporting documentation that shall be relied upon in the event of a hearing. It shall be for the Disciplinary Convenor to decide whether a late appeal shall be allowed.

b) The appeal shall be to the following:

   i) In a case determined by the Academic Registrar, the appeal shall be a member of the Disciplinary Panel nominated by the Disciplinary Convenor. Initially, it shall be presented to the Disciplinary Convenor, who may dismiss an appeal which does not provide a prima facie case under the specified grounds.

   ii) In a case determined by a Disciplinary Committee, the appeal shall be considered by a Disciplinary Appeal Committee. Initially, it shall be presented to the Disciplinary Convenor, who may dismiss an appeal which does not provide a prima facie case under the specified grounds.

   iii) If the Disciplinary Convenor decides that a Disciplinary Appeal Committee should be appointed he or she shall appoint the Committee which shall consist of the following persons:

      a) two persons drawn from the staff members of a Disciplinary Panel from time to time appointed by Senate, excluding the three panel members who served on the Disciplinary Committee which considered the case. The Convenor shall specify which of the two members shall act as Chairman;

      b) one person drawn from the student members appointed by the Union Society to the Disciplinary Panel from time to time appointed by Senate.

   c) The Disciplinary Panel member or Disciplinary Appeal Committee may, in determining the appeal, confirm or vary or quash the original decision. If a student is reinstated to the University on an appeal against suspension or expulsion, he or
she shall not suffer any loss of time counted towards residence qualifications for a particular course. The student, nevertheless, shall be required to pay appropriate fees, notwithstanding temporary loss of tuition and other facilities in the University.

d) Where the Disciplinary Convenor dismisses an appeal or the nominated Disciplinary Panel member or Disciplinary Appeal Committee confirms the decision appealed against, there shall be no further appeal within the University. Provision for independent external review is made through the existence of the Visitor to the University. The Visitor's role is to review the application by the University of its own internal procedures. Further information about the Visitor's role and how to contact the Visitor may be obtained from the Student Progress Section, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

Academic Appeals Procedure for Students

Definitions

Appeal: A written application to the University to review a formal academic decision made by the Board of Examiners of an undergraduate or postgraduate taught programme or a recommendation of the examiners of research degrees.

Appeal Officer: A member of the Student Progress Section appointed to process a submitted appeal and to advise the Chairman of the Appeal Panel where appropriate. The Appeal Officer should not be involved in issuing advice to the appellant.

Faculty Student Progress Officer: A member of the Student Progress Section from whom advice on procedure may be sought by the appellant. This will normally be the Student Progress Section administrator who has responsibilities relating to the faculty of the appellant. He/she will not be involved in consideration of the appeal.

Appeal Panel: The body which normally decides whether or not there is a case for the original decision of the examiners to be reviewed. The Chairman of the Appeal Panel will be a provost (or nominee) of a faculty other than that in which the appellant is studying, appointed by the Academic Registrar or his nominee. In addition to the Chairman, the Appeal Panel will also include the Appeal Officer, with a specific remit to advise on procedure, case law and precedents, and the Chairman may co-opt further independent members of academic or administrative staff as deemed appropriate.

Examiners: The Board of Examiners for an undergraduate or postgraduate taught programme, or appointed internal and external examiners for research degrees.

Note on Appeals from Students in the Faculty of Medicine

For the purposes of this procedure, in the case of appeals from students on taught programmes, for 'Student Progress Section' please read 'Faculty of Medicine Student Office', and in the case of students on research programmes please read 'Graduate School Office for the Faculty of Medicine'.

Scope of Procedure

1. This procedure is to be used only in relation to formal academic decisions made by the examiners. Where possible, students considering submitting an appeal should first consult their tutor or supervisor for feedback on decisions made by the examiners.

2. Queries about provisional marks for taught programmes should be raised with appropriate school staff, e.g. a module leader, degree programme director or personal tutor.

3. Given the existence of procedures for complaint and redress during the study period, alleged inadequacy of teaching or supervision will not constitute grounds for an appeal. Separate procedures and relevant information are contained in the following documents:
   - Student Complaints Procedure
   - Student Policy on Sexual and Racial Harassment
   - Guidelines for Research Students
   - Newcastle University and You
   - Postgraduate Newcastle
   - Public Interest Disclosure ('Whistleblowing') Policy

4. Appeals from groups of students are not permissible, but individual appellants may make reference to related appeals from other students if appropriate.

Confidentiality

5. Other than the initial letter of appeal, the information provided by an appellant, or anyone else, to the Appeal Officer will be treated in confidence and disclosed only to the Appeal Panel and, where appropriate, the examiners, unless disclosure to other parties is necessary to progress the appeal. In such a case the appellant will be notified in advance of the disclosure.

Grounds

6. Appeals can only be made on the following grounds:
   - The examiners were not aware of circumstances affecting the appellant's performance. (Please note: if this ground is relied upon, the appellant must state the reason for not making the circumstances known in time for the original examiners' meeting, in accordance with the annual notice to candidates issued by the Academic Registrar's Office.)
   - Procedural irregularity on the part of the examiners.
   - Inadequate assessment by an examiner or examiners.
   - Bias or prejudice on the part of an examiner or examiners.

7. 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.

8. Claims made by the appellant should be supported by documentary evidence where appropriate.

How to apply

9. Impartial advice on submitting an appeal may be sought from a faculty Student Progress Officer, the appropriate Officers of the students’ Union, or from the Student Advice Centre (students’ Union).

10. All submitted appeals must be accompanied by a completed ‘Academic Appeals Application Form’, available from the Registrar’s Office Reception or via www.ncl.ac.uk/spo/appeals.htm.

11. An appeal should be lodged with the Head of the Student Progress Section within 14 days of the publication by the Academic Registrar’s Office of the examination results of the appellant. Any supporting documentation not available at the time of submission must be made available to the Head of the Student Progress Section within 28 days of the publication of the examination results. The Head of the Student Progress Section will appoint an Appeal Officer.

12. A late appeal shall only be accepted if, on referral to the Chairman of the Appeal Panel, the Chairman is satisfied that circumstances exist which make it reasonable for the appellant not to have applied within the period specified above.
Procedure

13. If, on receipt of a completed appeal submission, the Chairman of the Appeal Panel determines in consultation with the Appeal Officer that the application is vexatious or frivolous, then the application will be rejected and the student informed in writing as to why the application is judged to be an abuse of process.

14. In all other cases the Appeal Officer shall seek comments on the appeal from all appropriate members of staff. Those from whom responses are sought will be provided with the letter of appeal. If the Appeal Officer deems it appropriate that any of those members of staff should receive any or all of the supporting documentation provided by the appellant, the permission of the appellant for disclosure will be sought.

15. On receipt of all responses sought, the Appeal Officer will decide whether there is clear evidence to refer the case immediately back to the examiners for reconsideration. The Appeal Officer may seek advice at this stage from the Chairman of the Appeal Panel if necessary.

16. If it is not clear to the Appeal Officer that the case should be referred back to the examiners for reconsideration, he/she will refer the case to an Appeal Panel for consideration. The Appeal Panel will investigate the appeal and may seek any such information as appears to be necessary to reach a decision. Where deemed appropriate the Appeal Panel may invite the appellant, and any other relevant parties, to a hearing. Any persons invited to attend a hearing with the Appeal Panel may be accompanied by a friend or representative. The Appeal Officer will provide the appellant, as soon as is reasonably practicable, with relevant case papers in accordance with the requirements of the Data Protection Act 1998, together with written advice about the general nature of hearings. The conduct of the hearing shall be for the Chairman of the Appeal Panel to decide.

17. The appellant will be kept informed of the progress of the appeal in writing by the Appeal Officer. A progress report (or outcome if decided) will normally be provided to the appellant no later than 28 days following receipt of the complete appeal. Further progress reports will normally be provided at intervals of no longer than 28 days.

18. Appellants will not normally be allowed to progress to the next stage of their study or have their degree conferred where the outcome of their appeal is pending. In order to prevent possible difficulties for the appellant at a later stage, the Appeal Officer will advise the appellant while an appeal is pending to enter for and prepare for appropriate resit examinations and will ensure that spaces on capped modules or programmes are reserved where appropriate. Exceptionally, the Appeal Panel may grant permission for an appellant to proceed to the next stage of a programme on the understanding that their study may be halted if the appeal is not successful.

Outcome

19. Where the Appeal Panel decides that there is no justification for referring a case back to the examiners, the Appeal Officer will write to the appellant within 7 days of the Appeal Panel's decision informing him/her that the original decision of the examiners is to stand. An outline of the reasons for the decision will be provided.

20. Where the Appeal Officer or Appeal Panel decides that a case should be referred back to examiners for reconsideration, the Appeal Officer will proceed as outlined in paragraph 21 or 22, depending on whether the appellant's degree is a taught or a research programme.

21. Taught Programmes

In the case of undergraduate or postgraduate taught programmes, the Appeal Officer will:

i) write to the original examiners (through the Chairman of the Board of Examiners) asking them to reconsider, clearly identifying the grounds for reconsideration, providing the examiners with all the relevant evidence on which the Appeal Panel based their decision, and advising them that external examiners must be consulted in writing and should be present at any meetings wherever possible

or

ii) on the instructions of the Appeal Panel, either write to the original examiners (through the Chairman of the Board of Examiners) with such directions as seem appropriate or take such other action as is deemed appropriate after consultation with the Academic Registrar. These options may only be exercised in cases where an appeal on the grounds of bias or prejudice on the part of an examiner or examiners has been upheld

and

iii) write to the appellant to inform him/her of the Appeal Panel's decision.

22. Research Programmes

In the case of postgraduate research programmes, the Appeal Officer will:

i) write to the dean of the faculty and the original examiners, asking them to reconsider, clearly identifying the grounds for reconsideration and providing the examiners with all the relevant evidence on which the Appeal Panel based their decision

or

ii) on the instructions of the Appeal Panel, ask the relevant member of the Student Progress Section to write to the appellant giving permission to revise the thesis and resubmit it for examination (by the original examiners) with a specified time limit in accordance with the normal procedure for resubmission

or

iii) on the instructions of the Appeal Panel, declare the original examination null and void and require the head of school to nominate for the approval of the faculty Dean of Postgraduate Studies two new external examiners to re-examine the appellant's thesis (where an appeal on the grounds of bias or prejudice on the part of an examiner or examiners has been upheld, this is the only outcome that the Appeal Panel may choose)

and

iv) write to the appellant to inform him/her of the Appeal Panel's decision.

23. Where asked to reconsider their original decision, the examiners shall review their decision in the light of the grounds for appeal and any relevant evidence. Any new examiners appointed in the case of research candidates will be told that they are conducting a re-examination on appeal but will not be informed of any other circumstances of the case.

24. Unless given specific directions by the Appeal Panel in accordance with paragraph 21 (ii) above, examiners shall have the power to confirm or alter their original decision, applying whatever powers of discretion are normally available to them under the current University and programme regulations. Where necessary, the examiners should make a recommendation to the Senate Matriculation and Concessions Committee for a concession to waive existing regulations. The examiners will be required to provide a formal report or Minutes of its judgement to the Appeal Officer.
25. The Appeal Officer shall inform the appellant in writing, normally within 7 days of receiving the examiners' report, of the outcome of the examiners' reconsideration, providing appropriate feedback on the examiners' decision.

26. The decision of the examiners on any re-examination or reconsideration of a candidate's performance will be final.

27. All appellants should normally be informed of the final outcome of their appeal within four months of the submission of their complete appeal.

28. The submission of an appeal in good faith, whether or not it is upheld, will not prejudice any future treatment of the appellant by the University.

29. The Appeal Officer will arrange (subject to the provision of receipts where appropriate) for any reasonable and proportionate incidental expenses incurred by a successful appellant as a direct result of submitting the appeal to be met as soon as possible after the outcome is known.

**Review of decision of Appeal Panel**

30. Under these procedures, an appellant may seek a review of the outcome of their appeal only on the ground of procedural irregularity on the part of the Appeal Panel.

31. A review application should be made in writing directly to the Vice-Chancellor and within 28 days of the notification of the Appeal Panel's decision not to refer a case back to the examiners.

32. A review application will be considered by the Vice-Chancellor, or a Pro-Vice-Chancellor nominated by the Vice-Chancellor to act on his behalf, who may dismiss an application which does not provide a prima facie case on the specified ground. The Vice-Chancellor or nominee may seek any evidence as appears to be necessary in order to reach a decision and following consideration may accept or reject the request for review. Where a review request is accepted, the Vice-Chancellor or nominee will either require the original Appeal Panel to reconsider its decision after remedying the deficiency in procedure or will determine the constitution of an alternative Appeal Panel to consider the case afresh.

33. The outcome of a review of the decision of an Appeal Panel may not be appealed against under this procedure.

34. There is no further appeal within the University. Provision for independent external review is made through the existence of the Visitor to the University. The Visitor's role is to review the application by the University of its own internal procedures. Further information about the Visitor's role and how to contact the Visitor may be obtained from the Student Progress Section, Academic Office, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

**Review of Procedure**

35. The Academic Appeals Procedure shall be reviewed at intervals of not less than five years.

---

**Policy on Dignity at Work and Study (Code of Practice for Staff and Students)**

1. **Policy Statement**

The University is committed to a policy of equality of opportunity. We aim to provide a working and learning environment which is free from unfair discrimination and will give staff and students the opportunity to fulfil their personal potential. All individuals should be treated with dignity and respect whether at work or study.

The purpose of this Policy is to promote a working and learning environment and culture in which harassment and bullying are known to be unacceptable and where individuals have the confidence to deal with harassment and bullying without fear of victimization. This policy aims to ensure that if harassment or bullying does occur to staff, students or visitors, adequate procedures are readily available to deal with the problem with support and sensitivity so as to prevent it recurring.

Harassment and bullying can have a detrimental effect upon the 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, relevant confidentiality and fairness (see Procedure, Appendix 1). In some instances, they may be dealt with informally. In others, there may be grounds for disciplinary actions, including dismissal or expulsion from the University.

The University undertakes to:

- Treat incidents of harassment or bullying as serious.
- Publicise the Policy as widely as possible in order to ensure that all staff and students are aware of its existence.
- Include information in staff induction and appropriate staff development sessions (e.g. awareness training).
- Monitor the number of cases arising and the effectiveness of the Policy.

2. **Rights and Responsibilities**

The 1991 European Commission code ‘Protection of Dignity of Men and Women at Work’, highlights the need for employers to develop and implement coherent policies to prevent harassment. In addition, various laws place responsibilities on employers to protect employees and these are outlined in Appendix 2.

Everyone has a responsibility to respect the feelings and sensibilities of others and to behave in a way which does not cause offence. In some instances individuals may be genuinely unaware that their behaviour is causing offence, but it is the duty of each individual to be sensitive to the impact their conduct may have on colleagues.

All those in authority, whether managers, supervisors, leaders etc have a responsibility to issue reasonable instructions and expect them to be carried out. The legitimate supervision of staff and students should be distinguished from harassing or bullying behaviour. However, it is important that consideration is given to style of dealing with others – those exercising authority should not behave in a way that would generally be considered unreasonable.

Staff and students should discourage harassment and bullying by

---

Visitors include: contractors, sub contractors, parents etc
making it clear that they find such behaviour unacceptable and by supporting colleagues who experience such treatment. Anyone who sees harassment or bullying happening in their area has a responsibility to take action. It is possible to bring a complaint forward if you witness harassment or bullying. All complaints of harassment or bullying will be taken seriously by the University and thoroughly investigated. The aim is to provide the support needed to help individuals decide the best course of action, and to resolve the issues raised.

The Procedure, (Appendix 1) provides a framework for dealing with complaints confidentially, fairly and in a consistent manner. It will also help to resolve problems quickly and informally wherever possible, without fear of victimization or retaliation.

Serious breaches of the Policy may lead to the relevant disciplinary procedures being used.

3. What are harassment and bullying?

Harassment, in general terms, is unwanted conduct affecting the dignity of men and women. It may be related to race, ethnic origin, sex, marital or parental status, sexual orientation, religion, disability, age, political belief, trade union membership, or any personal characteristic of the individual, and may be persistent or an isolated incident. The key is that the actions or comments are viewed as demeaning and unacceptable to the recipient.

The following are some examples of what is unacceptable behaviour in the University:

Physical Conduct – Unwanted physical conduct, including unnecessary touching or brushing against another employee/student’s body, assault, coercing sexual intercourse, physical threats, insulting or abusive behaviour or gestures.

Verbal Conduct – Unwelcome advances, propositions or remarks, innuendoes, lewd comments or abusive language, which is sex or race based or which refers to a person’s age, disability, sexuality, religion or personal appearance.

Non-verbal Conduct – Making abusive or offensive gestures, displaying of offensive written or visual material, other unacceptable non-verbal conduct which denigrates a person for whatever reason.

Bullying – Offensive, abusive, intimidating, malicious or insulting behaviour, including by electronic means, abuse of power or unfair sanctions, which make the recipient feel threatened or vulnerable, which undermines self confidence and which may cause stress.

Bullying and harassment are not necessarily face to face, they may be by written communications, electronic mail (so called ‘flame-mail’) and phone. More subtle forms of bullying and harassment, often not recognized, include persistently ignoring a person, isolating or excluding them.

4. Responsibilities

All Staff and Students

Everyone has a responsibility to comply with this Policy and all staff and students should ensure that their behaviour towards colleagues does not cause offence and could not in any way be considered to be 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 bullying, may be perceived by others as normal. It is important to be sensitive to the feelings and reactions of others and adjust behaviour as necessary.

Unresolved incidents of harassment or bullying need to be progressed and can be raised with any one of the people listed in the Procedure (Point 4 Second Stage – Informal).

Those with responsibility for implementing the Policy should:

Set a good example by treating all staff and students with dignity and respect.

Understand the Policy 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 members of staff or students who make an allegation of harassment or bullying; provide clear advice on the procedure to be adopted; maintain confidentiality in accordance with this Policy; monitor the work or study environment to ensure that there are no problems of harassment or bullying, or of victimization after a complaint has been made.

Be alert to unacceptable behaviour and take appropriate action: do not wait until complaints are brought to their attention if they are aware of behaviour of other managers or staff or students which might cause offence. If the incident is not serious then calling the individual aside and carrying out some ‘awareness-raising’ may be sufficient to stop the behaviour.

Ensure that staff and students know how to raise problems, are aware of the Policy and procedures, and of sources of help and advice available.

Dignity at Work and Study Advisers

Dignity at Work and Study Advisers are members of staff who have volunteered and have been trained to undertake this role. Any of the Advisers, attached as Appendix 3, will be prepared to discuss incidents or problems with you in complete confidence, however sensitive these may be. An Adviser will listen carefully to the problem and then inform you of possible courses of action. The Adviser may be able to suggest strategies for dealing with the harassment or bullying and will help you reach a decision about what, if anything, you wish to do, or have done, about the harassment.

If you are being accused of harassment or bullying the Adviser will also be able to offer you advice.

In addition, support and advice can be obtained from the Equal Opportunities Adviser.

Any discussions will be confidential within the confines of the University’s legal obligations. In some cases the first person you contact may need to consult further in order to find the best way to help you: this will be done in confidence.

Trade Union Representatives

Trade union members who are raising a complaint, or have a complaint made against them, can also talk confidentially to a representative of their trade union for advice and support.

Appendix 1: Procedure for Making and Dealing with Complaints of Harassment and Bullying

1. Introduction

This procedure has been designed to deal with complaints of harassment and bullying which need to be handled in a sensitive manner. The procedure, therefore, seeks to ensure minimal stress for the complainant, timely resolutions of complaints and a degree of flexibility appropriate to individual circumstances.

At all stages of the procedure, the need to maintain confidentiality for both complainant and alleged harasser will be paramount. Information circulation will be minimized to that which is necessary to ensure a fair investigation and hearing.

This procedure is separate from the disciplinary procedures, which may be used following the results of the investigation under this procedure. However, an incident may be so serious, or there may be sufficient evidence, to proceed straight away
with the relevant disciplinary procedure.

It is recognized that in bringing a complaint, the complainant must be protected from further harassment or detriment arising from the alleged incident and associated complaint. However, mischievous or malicious allegations may in themselves be a form of harassment and can lead to disciplinary action against the complainant.

2. Keeping a record

It is important that anyone who believes that they have suffered from harassment or bullying should keep notes of the details outlined below for each incident. Such notes should be made as soon after the event as possible. The notes should, if possible, include the following:

- date
- time
- place
- name of person harassing/bullying them
- what actually happened
- how they actually felt at the time of harassment/bullying
- name of any witnesses
- action taken and whether reported
- any correspondence relating to the incidents and subsequent complaints

Act promptly: don’t wait until conditions reach an intolerable level or your personal well-being is put in jeopardy.

3. First Stage – Informal

If you think you are being subjected to harassment or bullying in any form, do not feel that it is your fault or that you have to tolerate it.

If possible, make it clear to the harasser that his/her behaviour is unacceptable and must stop. You could do this verbally, or you may find it easier to do it by letter, in which case you are advised to keep a copy.

It is important to keep a record of events which distress you and the effect they have had on you. Make a note of any witnesses to an incident and ask them if they would be prepared to give evidence on your behalf should the complaint proceed to the formal stage.

4. Second Stage – Informal

If you feel unable to confront the person concerned as set out in the First Stage, you should seek help and advice from any one of the following people:

**Staff**
- Provost
- Head of School/Service
- Line Manager
- Human Resources Officer
- Trade Union Representative
- University Chaplain
- Dignity at Work and Study Adviser
- Equal Opportunities Adviser

**Students**
- Head of School
- Personal Tutor/Supervisor or other relevant academic
- Welfare Officer in Student Union
- Student Advice Centre in Student Union

If a member of staff is involved the complaint should be reported to both the Director of Human Resources and Head of the Academic Office who will jointly nominate an appropriate investigating officer.

Where appropriate, and only with your agreement, they will attempt to resolve the matter informally.

This may involve you, with their support, meeting with the harasser to explain why his/her behaviour is causing offence/distress and to ask him/her to change his/her behaviour.

If you do not feel able to meet with the harasser, you can request that the adviser meets with the harasser on your behalf in an attempt to resolve the matter or that the adviser seeks assistance from someone else who may be able to mediate between you and the harasser. In cases where the Head of School/Service or student’s tutor/ supervisor is not directly involved, that person should be informed of the action being taken unless you request otherwise.

If the matter remains unresolved through this informal approach, or if the problem continues after an agreed resolution, the matter should be referred to the Third and Formal Stage.

5. Third Stage – Formal

If the harassment/bullying continues or is of a more serious nature that cannot be dealt with by the informal means, you should make a formal complaint by completing an HB1 Form detailing your complaint. At this stage the alleged harasser will be sent a copy of your completed HB1 Form and any letter that you submit with the form.

Please note Dignity at Work and Study Advisers are trained to advise you if you wish.

**For Staff**

You will submit an HB1 form to the Director of Human Resources who will consider its degree of seriousness and, where appropriate, in consultation with the Equal Opportunities Adviser, will ensure that all informal action has been exhausted. The Director of Human Resources will nominate an appropriate investigating officer who will investigate the matter and decide whether or not the case is a disciplinary one to be pursued through the University’s Disciplinary Procedures.

Notes will be kept of any investigation, meetings or discussions and appropriate confidentiality will be observed for both complainant and alleged harasser.

You have the right to be accompanied to these meetings/discussions by a Dignity at Work and Study Adviser, Trade Union Representative or other appropriate member of staff.

Both complainant and alleged harasser will be informed of the outcome of the investigation in writing.

**For Students**

You will submit a HB1 form to the Head of the Academic Office who will consider its degree of seriousness and, where appropriate, in consultation with the Equal Opportunities Adviser, will ensure that all informal action has been exhausted. The Head of the Academic Office will nominate an appropriate investigating officer who will investigate the matter and decide whether or not the case is a disciplinary one to be pursued through the University’s Disciplinary Procedures.

**NB** If a member of staff is involved the complaint should be reported to both the Director of Human Resources and Head of the Academic Office who will jointly nominate an appropriate investigating officer.

Notes will be kept of any investigation, meetings or discussions and appropriate confidentiality will be observed for both
complainant and alleged harasser.

You have the right to be accompanied to these meetings/discussions by a Dignity at Work and Study Adviser or other appropriate member of staff or student. Both complainant and alleged harasser will be informed of the outcome of the investigation in writing.

6. Possible Outcomes

- no further action
- confirmation of the alleged harasser’s innocence
- informal resolution e.g. conciliation
- disciplinary procedure for the alleged harasser
- moving the alleged harasser or the complainant to a different location, if appropriate (it is normal practice to move a proven harasser rather than the complainant – if it is necessary to move the complainant for sound business reasons, this should only be done with the complainant’s agreement, as a forcible move could constitute further detriment/harassment)

7. Appeals

If the complainant or alleged harasser is not satisfied with the way the complaint has been handled or the outcome they may appeal in writing to the Chair of the Equal Opportunities Committee within 10 working days of written notification of the outcome of the formal investigation. Appeals against disciplinary action should be dealt with under the relevant disciplinary procedure.

8. Where a complaint is made against you

If you have a formal complaint made against you, you will be given a copy of the Dignity at Work and Study Policy and a copy of the HB1 Form completed by the complainant. You will be given the opportunity to state your case and to respond to a written complaint in writing. Any written response will be copied to the complainant. Where disciplinary action is taken you will have rights as specified under the relevant disciplinary procedure.

If it is found that a malicious complaint has been made, this will be addressed through measures such as action under the appropriate disciplinary procedures being taken against the complainant.

If a complaint is made against you, you should consider the following:

- Differences of attitude and culture or misinterpretation of social signals can mean that what is perceived as harassment by one person may not seem so to another. Even though your behaviour may seem harmless to you, it is the other person’s reasonable reaction to your behaviour that is important.
- Think carefully about the complaint and the particular concerns expressed and consider whether the complaint can be justified in any way, and whether it would be advisable and appropriate to change your behaviour.
- The first indication you may have that there is a problem may be when a colleague tells you that they are offended or upset by certain aspects of your behaviour and they will ask you to stop behaving towards them in a particular manner. All staff/students have the right to ask any of their colleagues to stop behaving in a manner which is insulting or offensive to them.
- Alternatively you may first be made aware of a problem when approached by one of the designated members of staff attempting to resolve the issue or informing you that a formal complaint has been made.

If you are accused of harassment or bullying, you may wish to consult a relevant adviser as mentioned in Section 4 of this procedure. Using these support networks will not be interpreted as an indication of guilt or any admission on your part: they are intended to help staff/students to deal with any allegations made against them.

If a problem is identified, the different stages of the Procedure will allow for that problem to be dealt with either informally or formally depending on the circumstances of each case.

Whatever stage of the Procedure is used, the aim is to stop any individual from harassing or bullying another and to prevent staff/students from having to endure this type of behaviour.

9. False Complaints

This procedure aims to promote fairness and consistency in dealing with reasonable complaints from members of staff and students. However, the University will not accept complaints which are believed to be false or malicious and, indeed, may decide to take disciplinary action in some circumstances when it can be demonstrated that a complaint is made on a deliberately false or malicious basis.

10. Victimization

Vicarous or retaliation as a result of action being taken under this procedure is unacceptable and may lead to disciplinary action. Victimization may also be unlawful.

11. What records will be held?

Where a formal complaint is made under Stage 3 of the procedure and the complaint is substantiated, records will be kept on a central file and the relevant personal file.

Where formal disciplinary action is taken, records will be held in accordance with the timescales (if stated) in the relevant disciplinary procedures.

12. Monitoring

Statistics will be collected annually and presented to the University’s Equal Opportunities Committee with comparisons to previous years. Managers and Dignity at Work and Study Advisers will be asked to identify:

- the number of cases they have dealt with over the previous year
- the ethnic origin and gender of complainants
- the nature of the harassment, e.g. bullying/racist/sexist
- the schools/sections in which the harassment occurred
- how the cases were resolved, i.e. no action/informal action/formal action/other

The information will be anonymized, the names of the complainants and alleged harassers will be withheld.

Appendix 2: The legal position

Please refer to the University website at www.ncl.ac.uk/internal/hr/policy/policies.htm

Appendix 3: Dignity at Work and Study Advisers

The full complement of Advisers has not yet been appointed. In the meantime please contact the Equal Opportunities Adviser or your Human Resources Officer.
Appendix 4: Other sources of information and help

Nightline, the Union Society
(0191) 2612905

Rape Crisis Centre (Tyneside)
41 Grainger Street
Newcastle upon Tyne
Telephone (0191) 2329585 Minicom (0191) 2610983

REACH (Rape Examination, Advice, Counselling and Help)
Counselling service to all victims aged 16 or over of a rape or sexual assault.

Reach (Tyneside)
Rhona Cross Centre
18 Jesmond Road West
Newcastle upon Tyne
Telephone (0191) 2121551 Minicom (0191) 2121548

Reach (Wearside)
Ellis Fraser Centre
Sunderland Royal Hospital
Sunderland
Telephone (0191) 5653725 Minicom (0191) 5143091

Racial Equality Council (Tyne & Wear)
2nd Floor Mea House
Newcastle upon Tyne
Telephone (0191) 2327639

Samaritans of Tyneside
15 Portland Terrace
Jesmond
Newcastle upon Tyne
Telephone (0191) 2327272

Victim Support
99 Heaton Park Road
Newcastle upon Tyne
Telephone (0191) 2764080

Lesbian and Gay Employment Rights
LAGER
Unit 1G, Leroy House
436 Essex Road
London, N1 3QP
Telephone/minicom lesbians: (020) 77048066
Gay men: (020) 77046066
12-4pm weekdays
Offers confidential, free advice and information to lesbians and gay men experiencing harassment or discrimination at work

Gender Trust
PO Box 3192
BN1 3 WR
E-mail: info@gendertrust.org
Helpline: 07000 790347
A registered charity offering information and support to transsexual, gender dysphoric and transgendered people.

Race Equality Policy
Note: at the time of going to press, this policy is under review.
The latest version can be found at www.ncl.ac.uk/internal/hr/policy/raceequality.htm

Introduction
The University Race Equality Policy should be read in conjunction with the University Equal Opportunities Policy. The Race Equality Policy provides more detail on the application of the general Equal Opportunities Policy to people of diverse racial backgrounds and describes how the University meets its statutory obligations in accordance with the Race Relations (Amendment) Act 2000.

Policy Statement
The University is committed to the prevention of racial discrimination and to the promotion of equality of opportunity among all its staff and students. It also values and encourages ethnic diversity and is committed to the promotion of good relations and understanding between people of different racial groups. The University will seek to identify and minimize any areas of potential conflict between those groups. These aims are the shared responsibility of all University staff and students, and must inform all aspects of University activities.

To support the implementation of this policy, it will be widely published, and will be made available to all new staff and students. Regular reports on the implementation of the action plan will be made to the University Council and will also be published.

Responsibility for the Policy
The Vice Chancellor has ultimate executive responsibility for the effective development and implementation of Equal Opportunities Policies.

The Equal Opportunities Committee has responsibility for the formulation of equal opportunities policies and procedures, to support the University’s overall policy, and for overseeing their implementation. The Committee reports to the Council of the University which has the authority to approve the policies. The Race Equality Sub-Committee will advise the Equal Opportunities Committee on the development and implementation of the Race Equality Policy.

The Director of Human Resources (HR) has responsibility for the implementation and monitoring of the policy as it pertains to staff and the Head of the Student Progress Office as it pertains to students.

All managers and heads of schools/sections will be responsible for ensuring that this policy is implemented and maintained within their own schools/sections. Staff, students, visitors and others associated with the University have a responsibility to ensure that their actions comply with the requirements of the Policy.

Reporting of Alleged Breaches
Alleged breaches of the policy, or incidents of racism or racial discrimination, should be reported. The most appropriate reporting mechanism will be dependent on the nature of the alleged incident, but if you are unsure please contact: Julie Bullimore, HR Projects Assistant, on extension 5976, e-mail Julie.Bullimore@ncl.ac.uk, Richard Burrow, Assistant Director, on extension 6306, e-mail Richard.Burrow@ncl.ac.uk (staff-related issues), or Jim Smith, Administrative Officer, on 8668, e-mail J.W.R.Smith@ncl.ac.uk (student-related issues).

Incidents of alleged harassment or bullying of University staff or
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 and enshrined in the Education Reform Act 1988.

1.2 The Public Interest Disclosure Act, which came into effect on 1 January 1999, gives legal protection to employees 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 officer.

Staff and students also have access to personal complaints and grievance procedures. Details are available on the University Intranet or from the Human Resources Section or Student Welfare Services as above.

Any more general breach of the policy should be reported to the HR Projects Assistant or to the Director of Human Resources or Student Progress Office as appropriate or to the Chair of the Equal Opportunities Committee.

Any racist incident whether or not it occurs on campus and irrespective of whether University staff or students are involved may be reported to the local Agencies Against Racist Crime and Harassment (ARCH), of which the University is a member. For information, the staff contact is Richard Burrow, Assistant Director, Human Resources, or Julie Bullimore, HR Projects Assistant. The Student contact is Jim Smith, Administrative Officer, Student Welfare Services.

Any racist incident whether or not it occurs on campus and irrespective of whether University staff or students are involved may be reported to the local Agencies Against Racist Crime and Harassment (ARCH), of which the University is a member. For information, the staff contact is Richard Burrow, Assistant Director, Human Resources, or Julie Bullimore, HR Projects Assistant. The Student contact is Jim Smith, Administrative Officer, Student Welfare Services.

1.3 This policy and procedure is intended to guide and assist members of the University who believe they have discovered malpractice or impropriety and to assist the University in the maintenance of appropriate standards of propriety and good practice. Members of the University are expected to use this policy and procedure in the first instance rather than report their concerns to a third party outside the Institution. There is, however, no intention to interfere with individuals’ civil duties and rights and to prevent them, for example, from reporting criminal activity to the police.

2 Scope of Policy

2.1 This policy and procedure provides for employees and students who believe that they have evidence of malpractice or impropriety which it would be in the public interest to disclose to bring their concerns to the attention of the appropriate University officer.

2.2 Instances of malpractice or impropriety might include:

- financial malpractice or impropriety or fraud
- failure to comply with a legal obligation or with the Statutes and Regulations of the University
- dangers to health and safety or the environment
- academic or professional malpractice
- miscarriage of justice
- improper conduct or unethical behaviour
- criminal activity (not covered by the above)
- attempts to conceal any of the above.

2.3 The University already has in place a number of policies and procedures for such matters 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).

3 Safeguards

3.1 Protection

This policy is designed to offer protection to those employees or students who make a disclosure of the kind described in 2.1 above provided that the disclosure is made:

- in good faith
- in the reasonable belief that the disclosure is substantially true
- without a view to personal gain
- to an appropriate person/body (see section 4 below).

3.2 Confidentiality

All disclosures made in accordance with this policy and procedure will be treated in a confidential and sensitive manner. The identity of the individual making the disclosure will be kept confidential to the extent that the maintenance of such confidentiality does not hinder or frustrate any related investigation. However, the individual making the disclosure may need to provide a statement as part of the evidence required and the investigation process may lead to the identity of the individual being revealed.

3.3 Anonymous Allegations

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously will be considered only at the discretion of the University.

In the exercise of this discretion, the factors to be taken into account will include:

- the seriousness of the issues raised
- the credibility of the concern
- the likelihood of confirming the allegation from attributable sources.

3.4 Untrue Allegations

Where investigation reveals that the allegation had no substance, no action will be taken against the individual who made the allegation provided that the allegation had been made in good faith and in the reasonable belief that it was substantially true. However, disciplinary action may be taken where clear evidence of malice has been established or where an individual persists in a vexatious or otherwise unreasonable use of this policy and procedure.
4 Procedures for Making a Disclosure

Initial Step

4.1 The individual should make the disclosure to the Registrar, as Secretary to Council, who will inform the Vice-Chancellor and the Chairman of Council unless:
   (i) requested not to do so by the discloser, or
   (ii) if the Chairman of Council is likely to be involved at any subsequent appeal.

In cases involving financial malpractice or impropriety, the Registrar will act in close consultation with the Vice-Chancellor, as the Accounting Officer for the University's public funding. If the disclosure is about the Registrar then the disclosure should be made to the Vice-Chancellor. If the individual does not wish to raise the matter with either the Registrar or the Vice-Chancellor, then he or she may raise it with the Chairman of the Audit Committee, if the issue falls within the purview of that Committee, or with the Chairman of Council.

Process

4.2 The Registrar will acknowledge receipt of the disclosure and will consider the information contained within the disclosure. He will determine whether prima facie the disclosure properly falls for consideration within the terms of this policy and procedure or whether the matter should more appropriately be considered through other approved procedures. If the Registrar determines that the disclosure is a matter for consideration within this policy and procedure, he will decide on the form of investigation to be undertaken.

This may be:
- to investigate the matter internally
- to refer the matter to the police
- to call for an independent inquiry

In some cases, a matter disclosed might be dealt with by agreed action without the need for further investigation. In determining the above the Registrar shall take such advice or undertake such consultation as may be necessary.

4.3 The Registrar will, as soon as is reasonably practicable, inform the person making the disclosure what action, if any, is to be taken and the envisaged timescale for consideration of the case. The procedure will be implemented as expeditiously as is reasonably practicable.

4.4 Where the matter is to be the subject of an internal inquiry, the Registrar will consider who should undertake the investigation and its terms of reference. Internal audit will normally be instructed to investigate disclosures relating to financial malpractice or impropriety. In other cases, the investigation will be carried out by a senior member of staff independent of the area in which malpractice or impropriety is alleged to have occurred. In all cases no one having any part to play in reaching a decision on any matter raised through disclosure will take any part in investigating matters contained in the disclosure. Investigations will be conducted as sensitively and speedily as possible.

4.5 If a disclosure is to be referred to the police, the University will co-operate fully with the police in the course of police enquiries, but will take no action itself pending completion of police enquiries and possible action.

4.6 If a disclosure is to be referred for independent enquiry, internal investigation, other than that undertaken as part of such enquiry, will normally be suspended, pending completion of such independent enquiry.

5 Feedback

5.1 If no action is to be taken, the Registrar will inform the person making the disclosure of the reason in writing. In such event, the person will have the opportunity to request the Chairman of Council (or the Chairman of the Audit Committee if the subject of the disclosure is financial malpractice or impropriety) to review the disclosure and the reasons given for not taking further action. The Chairman of Council (or of Audit Committee, as the case may be) will consider the matter and will either confirm the decision that no further action be taken, or determine what further action is to be taken and through what process.

5.2 Where a decision is made to conduct an internal investigation into a disclosure, the person against whom the disclosure is made shall be provided with a copy of the disclosure and any evidence supporting it, and shall have the opportunity to make a full response to the disclosure during the course of the investigation. No investigation shall be concluded or action taken without the person against whom the disclosure is made having had a copy of the disclosure and any evidence supporting it, and an opportunity to make a full response to the disclosure. In making such a response, a person against whom an allegation is made has the right to be accompanied by a trade union representative, or a Union Society Officer in the case of a student, or another member of the University not involved in the area of University activity to which the allegation relates.

5.3 In the event of a decision to call for an independent enquiry, the person against whom the allegation is made will be provided with a copy of the disclosure and any evidence supporting it.

5.4 In the event of a decision to refer the matter to the police, the provision of a copy of the disclosure and any evidence in support of it to the person against whom the allegation is made will be at the absolute discretion of the police.

6 Subsequent Action

6.1 Upon completion of an internal investigation, a written report will be made to the Registrar. The outcome of an internal investigation or an independent enquiry or referral to the police will determine whether further action should be taken and, if so, the nature of the action, which might include the invoking of other approved University procedures such as disciplinary, grievance or complaint and harassment procedures, or reference to an appropriate external authority.

7 Reporting of Outcomes

7.1 A report of all disclosures and any subsequent action will be made by the Registrar to the Chairman of Council and the Audit Committee. The Chairman of Council, the Chairman of Audit Committee, and the Registrar will have joint responsibility for maintaining and overseeing this policy and procedure and for making appropriate reports to Council.

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.
Student Disciplinary Procedures

This procedure, amended by Senate on 24 June 2003, applies to all cases of misconduct committed after 1 August 2003.

Impartial advice about these procedures may be sought from the Student Progress Section of the Academic Office, the students' Union or from the Student Advice Centre (students' Union).

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 characterized 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 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 student behaviour in the University, and this extends to all buildings and grounds belonging to the University, including University residences, sports grounds, the University farms and the University research vessel. The procedures shall also apply to acts of misconduct committed outside the University when a student is away in a University context, or when it is found that there is some link to the University or its reputation. Discipline of students within the Union Society building shall be the responsibility of officials of the Union Society nominated by the Society. The Union Society 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 dealt with in accordance with the University Procedure for Assessment Irregularities.

(d) Fitness for Professional Practice
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 the case of students of Medicine and Dentistry, special procedures exist for the certification of fitness to practise, and students found to have committed a disciplinary offence put their future career at risk. The Academic Registrar or his nominee shall, in addition to applying the standard procedures, be entitled to refer disciplinary cases involving such students to the Faculty of Medical Sciences Fitness to Practice Committee. In all other cases, the Academic Registrar or his nominee shall, in addition to applying the standard procedures, be entitled to refer a disciplinary case to the relevant head of school, to consider whether a student’s future professional position has been compromised and, if so, what action if any should be taken to inform the professional body.

(e) Examples of Misconduct
The following paragraphs elaborate upon, but do not limit the breadth of, the general definition of misconduct in Paragraph 1(b). The following shall, subject to the above, constitute misconduct:

i) disruption of, or improper interference with, the academic, administrative, sporting, social or other activities of the University, including offensive behaviour, whether on University premises or elsewhere; (University Council has previously approved a policy for the immediate management of disruptive behaviour on University premises.)

ii) obstruction of, or improper interference with, the functions, duties or activities of any student, member of staff or other employee of the University or any authorized visitor to the University;

iii) behaviour which brings the University into disrepute;

iv) intentional or reckless damage to, or defacement of, University property or the property of members of the University community;

v) misuse or unauthorized use of University premises, facilities or items of property;

vi) failure to disclose name and other relevant details to an officer or employee of the University in circumstances when it is reasonable to require that such information be given;

vii) failure to comply with a previously-imposed penalty under these procedures;

viii) acts of dishonesty, including theft, fraud, deceit, or deception in relation to the University, its staff or students;

ix) action likely to cause injury or impair safety on University premises, e.g. acts involving damage to or discharge without just cause of, or other misuse of or interference with, a Fire Extinguisher or other Fire Safety Equipment. (Such acts endanger the University community and is likely to result in a severe sanction.)

x) harassment of any student, member of staff, or any authorized visitor to the University, whether sexual, racial or bullying; (The University has a published Equal Opportunities Policy and Procedure for Making and Dealing with Complaints of Harassment and Bullying.)

xi) violent, indecent, disorderly, threatening or offensive behaviour or language whilst on University premises or engaged in any University activity;

xii) breach of the provisions of the University’s Code of Practice for Freedom of Speech;

xiii) conduct which constitutes a criminal offence where that

conduct

i) takes place on University premises, or

ii) affects or concerns other members of the University community, or

iii) damages the good name of the University, or

iv) itself constitutes misconduct within the terms of these procedures.

(For the avoidance of doubt, the University may proceed under Student Disciplinary Procedures notwithstanding the instigation of any criminal proceedings.)
2 Procedures: General

(a) The University shall have the right to investigate any allegation of misconduct against a student, and may take disciplinary action where it decides, on the balance of probabilities, that an act of misconduct has been committed.

Any investigation into an alleged act of misconduct, whether carried out under the central or local procedures, shall normally include in its early stages an interview of the student(s) concerned by the relevant authorized person in accordance with the provisions for the Conduct of Hearings set out in paragraph 7.

(b) Definition of Authorized Person

Under the Local Procedure, the following persons shall be deemed to be the authorized person for dealing with student discipline:

- In Academic Schools: The head of the school in which the misconduct occurs, or a nominated deputy
- In Academic Service Departments: The head of the relevant academic service department, or a nominated deputy
- In University Residences: The relevant warden or housing manager, or a nominated deputy

Under the Central Procedure, all references to the Academic Registrar should be taken to include anyone nominated by the Academic Registrar to act on his behalf.

(c) Allegations of misconduct which fall into categories i - vi in paragraph 1 (e) may only be dealt with by the Academic Registrar or another authorized person. Offences in categories vii - xiii in paragraph 1 (e) may only normally be dealt with by the Academic Registrar unless committed in a University residence, in which case the matter may be dealt with by an authorized person under the Disciplinary Procedures for University Residences (Appendix III), provided that the matter does not constitute a serious criminal offence. The Academic Registrar may, however, in any particular case of alleged misconduct that would normally fall within his own jurisdiction, determine that it should nevertheless be dealt with by another authorized person.

3 Local Procedure

(a) Where an allegation of misconduct is made known to an authorized person, the matter may be dealt with under the Local Procedure, in which case the authorized person may consult with the Academic Registrar at any stage in the enquiry. If the decision is made to deal with the matter under the Local Procedure, the authorized person shall, subject to sub-paragraph (b), determine the matter using the appropriate Local Procedure as set out in

- Appendix I - Disciplinary Procedures for Academic Schools;
- Appendix II - Disciplinary Procedures for Academic Service Departments;
- Appendix III - Disciplinary Procedures for University Residences.

(b) The authorized person may refer the matter to the Academic Registrar for determination under the Central Procedure where the authorized person is of the opinion that the available sanctions are an inappropriate response, given the nature and severity of the offence, or where the case involves a repetition of misconduct.

(c) Where an authorized person is satisfied that a student has committed an act of misconduct, one or more of the following sanctions may be imposed:

- i) A warning, orally and in writing, advising the student about their future conduct.
- ii) Where a student has previously received a warning, or where the authorized person deems fit, a final warning.
- iii) A compensation payment for the direct cost of reparations to property.
- iv) Confiscation without compensation of items prohibited by rules and regulations relating to Academic Schools and Academic Service Departments.
- v) A fine, up to a limit from time to time agreed with the Academic Registrar.
- vi) Suspension from the use of an Academic Service or from the use of specified facilities belonging to an Academic School. Where such power is exercised the Academic Registrar shall be informed as soon as is reasonably practicable. The decision shall be subject to written confirmation by the Academic Registrar where the period of suspension is in excess of one month, or two weeks in the case of the Computing Service.
- vii) In the case of Halls of Residence or other University accommodation, an authorized person shall have the right to impose such further sanctions as are, from time to time, approved by Council. For the avoidance of doubt, discipline in all University accommodation shall, in the first instance, be considered under the University's Student Disciplinary Procedures for University Residences.

4 Central Procedure

Acts of misconduct which fall to be considered by the Academic Registrar under paragraph 2 (c) of these procedures, and acts in relation to which a case is referred from an authorized person under paragraph 3(b) of the Local Procedure, shall be dealt with under the Central Procedure.

(a) Procedure A

Where the Academic Registrar so decides, he shall have the right to deal with an allegation of misconduct. Where the Academic Registrar is satisfied that a student has committed an act of misconduct, one or more of the following sanctions may be imposed.

- i) A warning, in writing, advising the student about future conduct. Where a student has previously received a warning, or where the Academic Registrar deems fit, the student may receive a final warning.
- ii) A compensation payment for the direct cost of reparations to property.
- iii) A fine.

(b) Procedure B

Where the Academic Registrar decides that a case is sufficiently serious, a Disciplinary Committee shall consider the case. Pending the hearing of an allegation of misconduct by a Disciplinary Committee the Academic Registrar may temporarily suspend a student from the University or from such facilities as the Academic Registrar shall determine. In such a case, the decision to suspend a student shall be reviewed by the Academic Registrar after every two week interval, and the Committee will hear the case, where reasonably practicable, within four weeks.

(c) A Disciplinary Committee shall comprise three members drawn from the staff members of the Disciplinary Panel from time
to time appointed by Senate. A Disciplinary Convenor*, formally appointed from time to time by Senate, shall be responsible for appointing a Disciplinary Committee for each case and shall specify which of the three members shall act as Chairman. The Convenor shall not be a member of any Disciplinary Committee. The Academic Registrar shall provide such secretarial and administrative support as is reasonably necessary.

(d) The Academic Registrar shall not be a member of any Disciplinary Committee, but shall be responsible for the preparation and presentation of the charge or charges before the Committee. The Academic Registrar shall inform the student(s) concerned in writing of the allegations and shall inform the student(s) that the case is to be heard by a Disciplinary Committee. A member of administrative staff who has had no involvement in the case shall be appointed as secretary to the Committee and shall be responsible for sending the student(s) any relevant documents, the summoning of witnesses, and generally for the proper presentation of the case before the Committee.

(e) If the Committee is satisfied that the offence is not proven, they shall take no further action against the student. If the Committee is satisfied that the student committed the act of misconduct, one or more of the following sanctions may be imposed.

- A warning, orally and in writing, advising the student about their future conduct. Where a student has previously received a warning, or where the Committee deems fit, the student may receive a final warning.
- A compensation payment for the direct cost of reparations to property.
- A fine.
- Suspension from the University or such part or parts as may be specified.
- Expulsion from the University.

(f) A student expelled or suspended as a result of disciplinary proceedings shall have no right to a refund of fees.

5 Supplementary Provisions

(a) The money raised from all fines shall be credited to the Vice-Chancellor's Hardship Fund.

(b) Non-payment of compensation or fines levied under these procedures shall, for the purpose of General Regulation B 5, constitute a failure to fulfill a financial obligation to the University.

6 Appeals

(a) A student wishing to appeal against a decision under the Local Procedure shall follow the procedure as shown in the appropriate Local Procedure attached as Appendices I, II and III to this document.

(b) A student wishing to appeal against a decision under the Central Procedure shall follow the appropriate procedure as shown in the following paragraphs.

(c) Where the decision against which a student is appealing involves partial or full suspension or expulsion, the student shall not, subject to this paragraph, be permitted to attend that part or all of the University, as appropriate, while the appeal is being determined. Students may apply for permission to attend if they can demonstrate that it would be unreasonable to debar them from attending their programme of study pending the appeal.

Grounds for such an appeal may include, but are not limited to, a change in circumstances since the disciplinary hearing or the fact that the timing of an appeal hearing means that a successful appellant will be prevented from returning to study immediately because of the University's General Regulations governing registration. Applications should be made to the Disciplinary Convenor who may refuse or grant permission to attend the University and may, if granting permission to attend, limit attendance to specific locations and/or times.

(d) An appeal shall be lodged within fifteen working days of receipt of the decision of the Academic Registrar or Disciplinary Committee to the Head of the Student Progress Section. The Appeal shall be in writing and shall specify the grounds of appeal which may only be one or more of the following:

- That fresh material evidence is available, which was not available on reasonable enquiry or application at the time of the original hearing;
- Procedural irregularity;
- Bias or prejudice;
- Excessive or inappropriate punishment.

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

The appeal shall be accompanied by supporting documentation that shall be relied upon in the event of a hearing. It shall be for the Disciplinary Convenor to decide whether a late appeal shall be allowed.

(e) Under these procedures, the appeal shall be to the following person:

- In a case determined by the Academic Registrar, the appeal shall be to a member of the Disciplinary Panel nominated by the Disciplinary Convenor. Initially, it shall be presented to the Disciplinary Convenor, who may dismiss an appeal which does not provide a prima facie case under the specified grounds.

- In a case determined by a Disciplinary Committee, the appeal shall be considered by a Disciplinary Appeal Committee. Initially, it shall be presented to the Disciplinary Convenor, who may dismiss an appeal which does not provide a prima facie case under the specified grounds.

- If the Disciplinary Convenor decides that a Disciplinary Appeal Committee should be appointed he or she shall appoint the Committee which shall consist of the following persons:

  - two persons drawn from the staff members of a Disciplinary Panel from time to time appointed by Senate, excluding the three panel members who served on the Disciplinary Committee which considered the case. The Convenor shall specify which of the two members shall act as Chairman;

  - one person drawn from the student members appointed by the Union Society to the Disciplinary Panel from time to time appointed by Senate.

(f) The Disciplinary Panel member or Disciplinary Appeal Committee may, in determining the appeal, confirm or vary or quash the original decision. If a student is reinstated to the University on an appeal against suspension or expulsion, he or she shall not suffer any loss of time counted towards residence qualifications for a particular course. The student, nevertheless, shall be required to pay appropriate fees, notwithstanding temporary loss of tuition and other facilities in the University.

(g) Where the Disciplinary Convenor dismisses an appeal or the nominated Disciplinary Panel member or Disciplinary Appeal Committee confirms the decision appealed against, there shall be no further appeal within the University. Provision for independent external review is made through the existence of the

* The Disciplinary Convenor is responsible for appointing a Deputy Disciplinary Convenor from the Disciplinary Panel. Each time that the Disciplinary Convenor is mentioned in these procedures, the Deputy Disciplinary Convenor may act in the absence of the Disciplinary Convenor and in other such circumstances as may be appropriate.
7 General Provisions for the Conduct of Hearings

In all proceedings before an authorized person, Disciplinary Panel member, Disciplinary Committee or Disciplinary Appeal Committee, such a person or Committee shall take evidence and receive submissions, either in writing or in person, and consider the allegation and all other circumstances which appear to them to be relevant. The person or Committee may take evidence from such other persons as they think fit in order to reach a decision. In cases in which a student is appealing against the decision of a Disciplinary Committee, the Academic Registrar, or his nominee responsible for the presentation of the original case shall attend to outline the case. The student shall, in all cases, have the right to attend and present their case, and to be present and be heard during the hearing. The student may be accompanied by a friend or representative and shall have the right to be informed of all of the evidence. In all other respects, the conduct of the hearing shall be a matter for the authorized person or the Chairman to determine. The student and any other persons present, except, where appropriate, the Secretary to the Committee, shall withdraw whilst the decision is reached.

APPENDIX I: DISCIPLINARY PROCEDURES FOR ACADEMIC SCHOOLS

1(a) Introduction

These procedures provide a framework for maintaining good order in all academic schools of the University. The procedure shall apply to all students who are subject to University discipline, and this document is to be read in conjunction with the University's Student Disciplinary Procedures.

(b) Definition of Misconduct

A breach of discipline is, as defined in paragraph 1(b) of the University's Student Disciplinary Procedures, 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. The essence of misconduct under this code is 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) Definition of Authorized Person

The head of the school in which the misconduct occurs, or a nominated deputy, shall be deemed to be the authorized person for dealing with student discipline in an academic school.

2 Procedures

(a) The authorized person shall have the right to investigate any allegation of misconduct against a student, and may take disciplinary action where, on the balance of probabilities, an act of misconduct has been committed. Where, in an academic school, an authorized person decides that a case is sufficiently serious, the authorized person may temporarily suspend a student from a particular facility belonging to that school, pending further investigation into the alleged misconduct. Where such power is exercised the Academic Registrar shall be informed as soon as is reasonably practicable. The decision shall be subject to written confirmation by the Academic Registrar where the period of suspension is in excess of one month.

(b) Where an authorized person is satisfied that a student has committed an act of misconduct, one or more of the following sanctions may be imposed.

i) A warning, orally and in writing, advising the student about their future conduct.

ii) A compensation payment for the direct cost of reparations to property.

iii) A fine, up to a limit from time to time agreed with the Academic Registrar.

iv) Confiscation without compensation of items prohibited by rules and regulations relating to academic schools and academic service departments.

v) Suspension from the use of specified facilities belonging to an Academic School. Where such power is exercised, the Academic Registrar shall be informed as soon as is reasonably practicable. The decision shall be subject to written confirmation by the Academic Registrar where the period of suspension is in excess of one month.

(c) Where an allegation of misconduct falls to be considered under this procedure, the authorized person shall also be entitled to consult with the Academic Registrar at any stage in their enquiry. Where a case is subsequently referred to the Academic Registrar, he shall have the right to decide whether, under the Central Procedure of the main University Student Disciplinary Procedures, to proceed under Procedure A or B.

(d) Explanatory Notes on Sanctions

i) Non-payment of compensation levied under these procedures shall, for the purpose of General Regulation B 5, constitute a failure to fulfil a financial obligation to the University.

Appeals

(a) A student wishing to appeal against a disciplinary finding by an authorized person in an academic school should address the appeal to the Head of the Student Progress Section.

(b) An appeal shall be lodged within fifteen working days of receipt of the decision of the authorized person. The appeal shall be in writing and shall specify the grounds of appeal which may only be one or more of the following:

i) That fresh material evidence is available, which was not available on reasonable enquiry or application at the time of the original hearing;

ii) Procedural irregularity;

iii) Bias or prejudice;

iv) Excessive or inappropriate punishment.

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

The appeal shall be accompanied by supporting documentation that shall be relied upon in the event of a hearing.

(c) The appeal shall be considered initially by the Disciplinary Convenor to decide whether there is a prima facie case under the specified grounds. If the Convenor decides that a prima facie case has been established, the appeal shall be considered by a member of the Disciplinary Panel nominated by the Convenor. The head of school (or nominee) shall be asked to submit a statement about the appeal. The Academic Registrar shall provide such secretarial and administrative support as is reasonably necessary for appeals. The Disciplinary Panel...
member shall be entitled to confirm, vary or quash the original finding.

4 Where the Disciplinary Convenor dismisses an appeal or the nominated Disciplinary Panel member confirms the decision appealed against, there shall be no further appeal within the University. Provision for independent external review is made through the existence of the Visitor to the University. The Visitor’s role is to review the application by the University of its own internal procedures. Further information about the Visitor’s role and how to contact the Visitor may be obtained from the Student Progress Section, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

5 General Provisions for the Conduct of Hearings

Paragraph 7 of the University’s Student Disciplinary Procedures shall apply to the conduct of all hearings.

APPENDIX II: DISCIPLINARY PROCEDURES FOR ACADEMIC SERVICE DEPARTMENTS

1(a) Introduction

These procedures provide a framework for maintaining good order in all academic service departments of the University. For the avoidance of doubt, the phrase academic service department shall hereafter be taken to mean the Computing Service, the Library, the Language Centre and the Centre for Physical Recreation and Sport. The procedure shall apply to all students who are subject to University discipline, and this document is to be read in conjunction with the main University Student Disciplinary Procedures.

(b) Definition of Misconduct

A breach of discipline is, as defined in paragraph 1(b) of the University’s Student Disciplinary Procedures, 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 service departments. The essence of misconduct under this code is 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) Definition of Authorized Person

The head of the relevant academic service department or a nominated deputy shall be deemed to be the authorized person for dealing with student discipline in an academic service department.

2 Procedures

(a) The authorized person shall have the right to investigate any allegation of misconduct against a student, and may take disciplinary action where it decides, on the balance of probabilities, that an act of misconduct has been committed. Where, in an academic service department, an authorized person decides that a case is sufficiently serious, the authorized person may temporarily suspend a student from that service, pending further investigation into the alleged misconduct. Where such power is exercised the Academic Registrar shall be informed as soon as is reasonably practicable. The decision shall be subject to written confirmation by the Academic Registrar where the period of suspension is in excess of one month, or two weeks in the case of the Computing Service.

(b) Where an authorized person is satisfied that a student has committed an act of misconduct, one or more of the following sanctions may be imposed.

i) A warning, orally and in writing, advising the student about their future conduct.

ii) A compensation payment for the direct cost of reparations to property.

iii) Confiscation without compensation of items prohibited by rules and regulations relating to academic schools and academic service departments.

iv) A fine, up to a limit from time to time agreed with the Academic Registrar.

v) An authorized person shall also have the power to suspend students from use of that Academic Service. Where such power is exercised the Academic Registrar shall be informed as soon as is reasonably practicable. The decision shall be subject to written confirmation by the Academic Registrar where the period of suspension is in excess of one month, or two weeks in the case of the Computing Service.

(c) Where an allegation of misconduct falls to be considered under this procedure, the authorized person shall also be entitled to consult with the Academic Registrar at any stage in their enquiry into any allegation of misconduct. Where an offence is subsequently referred to the Academic Registrar, he shall have the right to decide whether, under the Central Procedure of the main University Student Disciplinary Procedures, to proceed under Procedure A or B.

(d) Explanatory Notes on Sanctions

i) The money raised from fines will be forwarded to the Vice-Chancellor’s Hardship Fund.

ii) Non-payment of compensation or fines levied under these procedures shall, for the purpose of General Regulation B 5, constitute a failure to fulfill a financial obligation to the University.

iii) All suspensions from an Academic Service Department shall be reported to the Academic Registrar.

3 Appeals.

(a) A student wishing to appeal against a disciplinary finding by an authorized person in an academic service department should address the appeal to the Head of the Student Progress Section.

(b) An appeal shall be lodged within 15 working days of receipt of the decision of the authorized person. The appeal shall be in writing and shall specify the grounds of appeal which may only be one or more of the following:

i) That fresh material evidence is available, which was not available on reasonable enquiry or application at the time of the original hearing;

ii) Procedural irregularity;

iii) Bias or prejudice;

iv) Excessive or inappropriate punishment.

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

The appeal shall be accompanied by supporting documentation that shall be relied upon in the event of a hearing.

(c) The appeal shall be considered initially by the Disciplinary Convenor to decide whether there is a prima facie case under the specified grounds. If the Convenor decides that a prima facie case has been established, the appeal shall be considered by a member of the Disciplinary Panel nominated by the Convenor. The Director of Service (or nominee) shall be asked to submit a statement about the appeal. The Academic Registrar shall
provide such secretarial and administrative support as is reasonably necessary for appeals. The Disciplinary Panel member shall be entitled to confirm, vary or quash the original finding. If a student has access to the service reinstated on an appeal against suspension from an academic service department, the student shall still be required to pay appropriate fees, notwithstanding temporary loss of access to facilities in the University.

4 Where the Disciplinary Convenor dismisses an appeal or the nominated Disciplinary Panel member confirms the decision appealed against, there shall be no further appeal within the University. Provision for independent external review is made through the existence of the Visitor to the University. The Visitor's role is to review the application by the University of its own internal procedures. Further information about the Visitor's role and how to contact the Visitor may be obtained from the Student Progress Section, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

5 General Provisions for the Conduct of Hearings
Paragraph 7 of the University's Student Disciplinary Procedures shall apply to the conduct of all hearings.

APPENDIX III: DISCIPLINARY PROCEDURES FOR UNIVERSITY RESIDENCES

1(a) Introduction
The following procedures provide a framework for maintaining good order in all University accommodation (‘residences’). The procedures apply to all students who are subject to University discipline, and this document is to be read in conjunction with the University's Student Disciplinary Procedures.

(b) Definition of Misconduct
A breach of discipline is, as defined in paragraph 1(b) of the University's Student Disciplinary Procedures, for the purpose of these procedures, an “act of misconduct”. The essence of misconduct under this code is improper interference, in the broadest sense, with the proper functioning or activities of the residence, or those who live or work in, or visit the residence. The procedures shall also apply to acts of misconduct committed outside the residence when a student is away in a residence context, or when it is found that there is some link to the residence or its reputation.

(c) Definition of Authorized Person
Under these procedures, the following persons shall be deemed to be the authorized person for dealing with student discipline in residences:

In Halls of Residence: The Warden of the Hall in which the misconduct occurs, or a nominated deputy.

In University Flats: The Housing Manager or a nominated deputy.

2 Procedures: General
(a) An authorized person shall have responsibility for the maintenance of good behaviour and discipline in so far as it affects the residence. An authorized person shall have the right to investigate any allegation of misconduct, and may take disciplinary action when, on the balance of probabilities, an act of misconduct has been committed. An authorized person shall be entitled to deal with any alleged offence, unless it is of sufficient seriousness that it should be referred to the Academic Registrar, to be dealt with under the Central Procedure of the University's Student Disciplinary Procedures.

(b) Where an allegation of misconduct is made known to an authorized person, and a decision is made to deal with the matter under this procedure, the authorized person shall determine using the procedure set out in paragraph 3 (a) below.

(c) Allegations of misconduct which fall into categories i - vii (paragraph 1(e))of the University’s Student Disciplinary Procedures may, in accordance with paragraph 3 (a) of those procedures, be dealt with by the Academic Registrar or an other authorized person. Offences in categories viii - xiv (paragraph 1(e)) may only be dealt with by the Academic Registrar unless committed in a University residence, in which case the matter may be dealt with by an authorized person under these procedures, provided that the matter does not constitute a serious criminal offence.

(d) Where a decision is made that the offence should be dealt with by the Academic Registrar, the matter shall be determined using the University’s Student Disciplinary Procedures. When an offence is reported to the Academic Registrar, he shall have the right to decide whether, under the Central Procedure, to proceed under Procedure A or B. In such a case, the authorized person shall, when required by the Academic Registrar, be responsible for the conduct of a preliminary investigation of the allegation, and shall report the outcome of such an investigation to the Academic Registrar.

(e) Where an allegation of misconduct falls to be considered under the procedure set out in paragraph 3 (a) below, the authorized person shall also be entitled to consult with the Academic Registrar at any stage in the enquiry.

3. Disciplinary Process
(a) Where an authorized person is satisfied that a student has committed an act of misconduct, one or more of the following sanctions may be imposed.

i) A warning, orally and in writing, advising the student about future conduct.

ii) Where a student has previously received a warning, or where the authorized person deems fit, a final warning.

iii) A compensation payment for the direct cost of reparations to property.

iv) A fine, within limits from time to time agreed with the Academic Registrar.

v) Exclusion from any part or parts of the residence, or from attending any social functions at the residence.

vi) A written request that the student vacate the room(s) occupied by that student and leave the residence. Should the student refuse to do so, the University will take necessary legal proceedings to obtain possession.

(b) For the avoidance of doubt, it should be noted that, in respect of the procedures detailed above, persistent offenders, even in relation to minor offences, may be liable to incur a greater sanction than the individual offence might otherwise merit.

4. Supplementary Provisions
i) The money raised from fines will be forwarded to the Vice-Chancellor's Hardship Fund.

ii) Non-payment of compensation or fines levied under these procedures shall, for the purpose of General Regulation B5, constitute a failure to fulfil a financial obligation to the University.

iii) All expulsions from a residence shall be reported to the Academic Registrar.
5. Appeals
(a) i) A student wishing to appeal against a disciplinary finding by an authorized person under this procedure should address the appeal to the Head of the Student Progress Section.
ii) Where the decision against which a student is appealing involves partial or full suspension from facilities, the appellant may not use those facilities or to attend the residence while the appeal is being determined. For the avoidance of doubt: this provision shall not apply to occupation of a student residence.
(b) An appeal shall be lodged within ten working days of receipt of the decision of the authorized person. The appeal shall be in writing and shall specify the grounds of appeal which may only be one or more of the following:
   i) That fresh material evidence is available, which was not available on reasonable enquiry or application at the time of the original hearing;
   ii) Procedural irregularity;
   iii) Bias or prejudice;
   iv) Excessive or inappropriate punishment.
   v) That the decision reached was perverse in that it was one which no reasonable person could have reached on the available evidence.

The appeal shall be accompanied by supporting documentation that shall be relied upon in the event of a hearing.
(c) The appeal shall be considered initially by the Disciplinary Convenor to decide whether there is a prima facie case under the specified grounds. If the Convenor decides that a prima facie case has been established, the appeal shall be considered by a member of the Disciplinary Panel nominated by the Convenor. The Director of the Accommodation Service (or nominee) shall be asked to submit a statement about the appeal. The Academic Registrar shall provide such secretarial and administrative support as is reasonably necessary for appeals. The Disciplinary Panel member shall be entitled to confirm, vary or quash the original finding.

6. Where the Disciplinary Convenor dismisses an appeal or the nominated Disciplinary Panel member confirms the decision appealed against, there shall be no further appeal within the University. Provision for independent external review is made through the existence of the Visitor to the University. The Visitor's role is to review the application by the University of its own internal procedures. Further information about the Visitor's role and how to contact the Visitor may be obtained from the Student Progress Section, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

7. General Provisions for the Conduct of Hearings
Paragraph 7 of the University's Student Disciplinary Procedures shall apply to the conduct of all hearings.

Student Complaints 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. Before having recourse to the Complaints Procedure, a student should attempt to resolve a problem with the individual(s) concerned or consult his/her tutor or supervisor or head of school for help and advice. Only when these steps have failed, or when the student has good cause for not pursuing these means of resolving the issue, should the Complaints Procedure be invoked.

3. Separate procedures exist for dealing with complaints relating to equal opportunities matters, sexual and racial harassment, and decisions of boards of examiners. Similarly appeals resulting from the Student Disciplinary Procedures are dealt with under separate arrangements. The Student Complaints Procedure and Complaint Form should not be used for such difficulties. The relevant procedures are contained in the following documents which can be obtained from the Student Progress Section in the Academic Registrar's Office:
   • Equal Opportunities Policy
   • Student Policy on Sexual and Racial Harassment
   • Academic Appeals Procedure for Students
   • Student Disciplinary Procedures.

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

PROCEDURE
4. The complainant should complete the Student Complaint Form available from the Student Progress Section and submit it for the attention of the Head of the Student Progress Section.

Complaints received more than 12 months after the event in question will not normally be investigated.

Electronic versions of the Complaints Form and Procedure can be found at: www.ncl.ac.uk/spo/complaints.htm

5. The Head of the Student Progress Section or her nominee (hereafter referred to as the Complaints Officer) will acknowledge receipt of the Complaint within 7 days of the receipt of the completed Complaints form and will invite the complainant to discuss the matter. If the complainant wishes to do so, he/she may be accompanied by a friend or adviser at this meeting. The friend or adviser will have the right to accompany the complainant at any meeting and may contribute formally to the discussion with the express consent of the Complaints Officer only. No action will be taken in the case of complaints made anonymously.

6. Provided that the complainant's consent has been given for the matter to be investigated further:
   a) the Complaints Officer will determine whether the complaint
merits detailed investigation or whether there are avenues which have not yet been explored and with which s/he or another colleague could assist;

b) if it is decided that the complaint does merit investigation, the Complaints Officer will investigate it, consulting initially the relevant head of school, senior tutor or equivalent colleague, but also seeking information as necessary from anyone else likely to be helpful in resolving the matter;

c) once all necessary information has been gathered, the Complaints Officer shall decide whether it is possible to try to resolve the matter between the parties concerned;

d) if it is not possible to resolve the matter as in (c) above, or if the issues raised are particularly serious, the Head of the Student Progress Section shall refer the matter to the Pro-Vice-Chancellor who is Chairman of the Student Welfare Services Policy Committee who will make appropriate arrangements for any further investigation necessary and may, if she deems it appropriate, require further information to be gathered;

If the complaint concerns the Student Progress Section or the Pro-Vice Chancellor who is Chairman of the Student Welfare Services Policy Committee, the Academic Registrar, who is head of the Academic Office, will make arrangements for senior officers from separate schools to deal with the matter.

e) appropriate action will be taken in the light of the outcome of the investigation. The action will be intended to resolve the matter but may include the initiation of formal disciplinary action against a member of staff or a student under the University’s disciplinary procedures;

f) on the completion of the investigation, which will be conducted as quickly as the particular circumstances permit and certainly within six weeks from the receipt of the Complaints Form, the Complaints Officer will notify the complainant in writing as soon as possible of the outcome and of any consequential action to be taken.

7. If the complainant does not consent to the matter being investigated, no further action shall be taken, but the Student Progress Section shall keep a confidential record of the details of the complaint on file. In such cases:

a) complainants must accept that, since the complaint will not have been subject to investigation, the University will not be able to regard the complaint as having any validity;

b) the record of the complaint will be labelled: ‘In accordance with the wishes of the complainant, this complaint has not been investigated but will remain on a confidential file within the Student Progress Section for a period of 12 months as detailed in Section 7c of the Student Complaints Procedure’.

c) if complainants at a later date decide that they wish the complaint to be investigated after all, they must put their request in writing to the Head of the Student Progress Section within 12 months of the original complaint being made. It must be realized that the longer complaints are left lying on file, the more difficult an investigation will be, and requests received after the 12-month deadline will be regarded as ‘out of time’.

8. If the Head of the Student Progress Section considers the complaint vexatious or frivolous, she or her nominee will advise the complainant that no action is to be taken.

9. The Complaints Officer will arrange (subject to the provision of receipts where appropriate) for any reasonable and proportionate incidental expenses incurred by a successful complainant as a direct result of submitting the complaint to be met as soon as possible after the outcome is known. Such expenses shall be borne in full by the school, service or section which is the subject of the complaint.

10. Appeals

Students wishing to lodge an appeal about the outcome of a complaint which has been investigated should do so in writing, addressing their appeal to the Academic Registrar. If the Academic Registrar, having investigated the original complaint, considers there to be grounds for the appeal, he may make appropriate arrangements to have the complaint reconsidered. Any further action or outcome will be decided by the Academic Registrar and will be final. There will be no further opportunities for appeal within the University.

There is no further appeal within the University. Provision for independent external review is made through the existence of the ‘Visitor’ to the University. The Visitor’s role is to review the application by the University of its own internal procedures. Further information about the Visitor’s role and how to contact the Visitor may be obtained from the Student Progress Section, Academic Office, 6 Kensington Terrace (or by e-mail at student-progress@ncl.ac.uk).

11. Monitoring and evaluation:

The Head of the Student Progress Section shall make an annual report to Student Welfare Services Policy Committee of all complaints she and her staff have investigated, including:

- The number of complaints made, and upheld or rejected
- The nature of the matters raised and any remedial action recommended and taken
- The ethnic origin and gender of the complainants.

CONFIDENTIALITY

All the information which a complainant, or anyone else, provides to the Student Progress Section, to the Pro-Vice-Chancellor, or to other officers dealing with the matter in the course of an investigation of a complaint, will be treated as strictly confidential. However, complainants should be aware that it may be necessary to divulge information to certain individuals in order to investigate a case, although such a course of action will be undertaken with the complainant’s consent only. It is equally important that the complainant on his/her part also respects the need for confidentiality throughout the complaints process.

In following this Procedure, the University will comply with the requirements of the Data Protection Act.

Further Information

Further advice and guidance can be obtained from the Student Progress Section, Academic Registrar’s Office, 6 Kensington Terrace or from the Student Advice Centre in the Union Society.

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. If you are liable for tuition fees or for any or all of the tuition fee contribution, you should contact the Finance Department 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 One of this Handbook).

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 commercializable 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 Research and Innovation Services (RIS) 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 variation in the nature and source of their funding, supervisors believe that a project involving a student or an academic visitor is likely to generate potentially commercializable 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 Research and Innovation Services (RIS) 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 variation in the nature and source of their funding, supervisors believe that a project involving a student or an academic visitor is likely to generate potentially commercializable IP, they should note carefully the position outlined below.

Case Students and Commercially Funded Studentships

For students on CASE awards, or awards that are funded in whole or part by industry, RIS 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. RIS 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 RIS 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 RIS 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 Earmarked 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 RIS 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 credit. The University does not wish to be forced 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 this 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, recognizing that it may not be possible under these circumstances for the University to obtain protection for any IP generated.

Visiting Researchers

The position of visiting academic staff is similar, in principle, to students, in that funding for their visit may arise from a large number of sources, and clear conditions with respect to IP are the exception rather than the rule. As for studentships, much depends on whether the funding agency has an explicit agreement with the University.

Where this is the case, the visiting academic member of staff must agree to be bound by those conditions, and this agreement should be in writing. As is the case with studentships a more complex situation arises where the visitor is either self-funded, or funded by an agency with which we have no agreement. The position outlined above also applies in this case, with the added risk that the reports often required by such agencies may lead inadvertently to premature disclosure. This is a particular problem where, as is often the case, the visitor joins a research group which may seek to protect IP accumulated over some time, and which could be jeopardized either by disclosure or even by disagreement as to the author of the decisive inventive step. Where a visitor joins a group actively engaged in research likely to lead to commercializable intellectual property, the group leader must seek to rationalize the IP position with the visitor before work starts. In particular, the visitor must agree in writing to be treated during his/her stay, as a member of the University’s staff, with all IP generated during the stay vested with the University in return for agreement that his or her interests will be protected in the same way as for University staff. This requirement is already imposed by the University with regard to safety, and reflects the most reasonable way in which the University can deal with a situation that otherwise would become both complex and potentially very costly.

Practicalities

Schools should use the standard letter which can be accessed from the RIS website. Two copies of each letter should be signed both by the supervisor and the student. The student should be given one copy and the other signed original must be deposited with RIS, since any legal steps needed will have to be undertaken by RIS. Further general guidance about studentships is available in Research Services Guidance Note No 11 Research Studentships which can be obtained from RIS and is also available on the website. See www.ncl.ac.uk/ris

<table>
<thead>
<tr>
<th>Summary Table for Action on IPR of Students and Visiting Researchers</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASE Studentships</td>
</tr>
<tr>
<td>Commercially/Government Studentships through a contract with the University</td>
</tr>
<tr>
<td>Research Committee funded Studentships</td>
</tr>
<tr>
<td>Charitable Foundations funded by contact through the University</td>
</tr>
<tr>
<td>Research Council Earmarked Studentships</td>
</tr>
<tr>
<td>Research Council Quota Studentships &amp; MAFF Studentships</td>
</tr>
<tr>
<td>School Studentships and Research Committee Part-Funded Studentships</td>
</tr>
<tr>
<td>Self-funded studentships</td>
</tr>
<tr>
<td>Students funded directly by third parties (i.e. with no University Contract)</td>
</tr>
<tr>
<td>Visiting Researchers</td>
</tr>
<tr>
<td>Undergraduate Projects</td>
</tr>
</tbody>
</table>

Action taken automatically by RIS

Action needed by Schools

✓
Policy and Procedure for Investigating Allegations of Research Misconduct (for staff)

General Policy

1.1 The University expects all staff who engage in research to observe the highest standards of integrity at all times. The Nolan Committee on Standards in Public Life identified seven principles that have relevance to best practice in the conduct of research. These are: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. Together these principles provide a foundation for personal integrity that should be reflected in the professional conduct of research by every individual who contributes to research at the University.

1.2 All researchers should be familiar with, and conduct their research in accordance with the University’s Code of Good Practice in Research. Research misconduct is least likely to arise in an environment where good open research practice is encouraged and where there is effective supervision at all levels. Heads of school and directors of research institutes are responsible for establishing and communicating the standards, protocol and ethics for research relevant to their area, to all academic and research staff, and for ensuring adherence to these standards.

1.3 Allegations of research misconduct are fortunately rare, but the University takes any allegation very seriously and will ensure that all allegations are investigated in accordance with the policy and procedures set out in this document. The University is also committed to protecting its researchers from malicious accusations and will take action against any individual(s) responsible for such allegations.

1.4 This policy complements the University’s policy on Public Interest Disclosure (‘Whistle Blowing policy’). Allegations of research misconduct made under Public Interest Disclosure will be referred by the Registrar, or, in his absence the Director of Business Development, to the Pro-Vice-Chancellor (Research) (PVC(R)), or if more appropriate to another senior officer, following consultation with the Vice-Chancellor or, in his absence, the Deputy-Vice-Chancellor, and investigated in accordance with the policy and procedure set out in this document.

Scope

2.1 This document applies to all employees, honorary or visiting researchers and fellows conducting research within or on behalf of the University at the time the misconduct is alleged to have occurred. Where allegations of misconduct are made by an individual or organization external to the university such an individual or organization will be informed of the University’s policy and procedures and of the University’s expectations with regard to compliance.

2.2 In this document the masculine gender includes the feminine gender and singular nouns and verbs include the plural and vice versa.

General Principles

3.1 Key definitions are presented in Annex 1.

3.2 All University employees or individuals working within the University have a responsibility to both the University and to the wider research community to report observed, suspected or apparent research misconduct as set out in these documents.

3.3 An individual reporting apparent misconduct has a responsibility to do so in good faith, to maintain confidentiality and to co-operate with any subsequent assessment or investigation.

3.4 The PVC(R) will, to the maximum extent possible, respect the privacy of those who in good faith report apparent misconduct and will make diligent efforts to protect their positions and reputations.

3.5 The PVC(R) will be supported in this procedure by a member of the Human Resources team, who will be responsible for ensuring that both the complainant and the respondent are kept fully informed of progress.

Preliminary Action (Stage 1)

4.1 Any member of the University who believes that an act of research misconduct has occurred or is occurring should report the allegation (with all relevant background) to the relevant Head of school or director of research institute. If an individual is unsure whether a suspected action constitutes research misconduct, he may discuss this informally with the head or director. If the head or director believes that the circumstances described do not meet the definition of research misconduct, he will advise the individual and if necessary take other appropriate action to address any specific issues. If the Head or Director decides that the circumstances described meet the definition of research misconduct then he will request that the individual submits a formal allegation in writing to the Provost of the Faculty referencing this procedure.

4.2 If the individual is not satisfied with the response from the head of school or institute director or if, for any reason, the individual does not feel it appropriate to raise the matter initially with the head or director he may instead discuss the allegation direct with the research dean for the faculty. If the research dean believes that the circumstances described do not meet the definition of research misconduct, he will advise the individual and if necessary take other appropriate action to address any specific issues. If the research dean decides that the circumstances described meet the definition of research misconduct then he will request that the individual submit a formal allegation in writing to the Provost of the faculty referencing this procedure.

4.3 A complaint from a source external to the University will be referred direct to the Provost of the faculty concerned to carry out a preliminary assessment as described in the following paragraphs.

4.4 The Provost, assisted where appropriate by the head or director and the research dean, will review the allegation and will inform the individual against whom the allegation is made of the substance of the allegation and give him an opportunity to respond. If he is not satisfied with the response or believes that the reputations of any of the parties (including the University) will remain in jeopardy if the matter is not subject to independent assessment, he will proceed to the next stage of the procedure. As part of this preliminary action the Provost will also identify any funding source(s) for the research which is the subject of the complaint and identify whether there are any external parties such as collaborators who may be affected and notify this information to the PVC(R).

4.5 At this stage, all possible steps will be taken to protect the anonymity of the complainant and respondent until such time as a formal investigation is warranted under stage 3.

4.6 If the Provost decides that an assessment is warranted he will ask the head or director to arrange for all relevant research records and materials (including computers and computer discs) to be secured.

4.7 If the Provost decides that an assessment is not warranted, he will record his justification for that decision and inform the complainant and respondent of this outcome. This record must be copied to the PVC(R).
4.8 If the Provost has an interest in the matter this preliminary action will be carried out under the direction of the Provost of another faculty appointed by the PVC(R).

Initial Assessment (Stage 2)

5.1 Purpose
The purpose of the assessment is to determine whether there is prima facie evidence of research misconduct, not to reach a final conclusion as to whether misconduct occurred or who was responsible.

5.2 Notification Requirements
If the Provost decides that an assessment is warranted he will notify both the respondent and complainant in writing, and remind them of their obligation to co-operate in the assessment and to observe the confidentiality requirements. He will also inform the PVC(R) of the proposed action.

If the PVC(R) has a conflict of interest in the matter, the Vice-Chancellor or, in his absence, the Deputy-Vice-Chancellor, will appoint an alternative senior member of the University to fulfill the role of the PVC(R) set out in this procedure.

5.3 Appointment of Assessment Committee
The PVC(R) will appoint an assessment committee of three individuals (which should not include himself) with no conflicts of interest in the case and who have the appropriate expertise to evaluate the technical or academic issues. Normally at least one member of the committee will be appointed from a school or research institute outside the faculty concerned. The committee shall be chaired by a member of the committee external to the faculty concerned appointed by the PVC(R).

5.4 Assessment Committee Terms of Reference and Procedure
The assessment committee should specifically limit its scope to that of evaluating the facts only to determine whether there is sufficient evidence of research misconduct to warrant an investigation.

Assessment will normally involve the committee in interviewing the complainant, the respondent (who may be accompanied by a friend, who may be a trade union representative, a work colleague, or other appropriate person), and key witnesses, including, if appropriate, external expert witnesses, and examining the relevant research records and materials. The Respondent may submit evidence to the committee.

The Assessment Committee should keep proper records of their proceedings. A written report should be prepared which states what evidence was reviewed, summarizes relevant interviews and includes a conclusion as to whether an investigation is warranted.

5.7 Time Limit for Completing Assessment Report
The assessment committee will complete the assessment and submit its report in writing within 30 working days starting from the date the committee was set up. Where circumstances clearly warrant a longer period, the PVC(R) may approve an extension of this time limit. The reason for the extension will be entered into the records of the inquiry and the report. The respondent and complainant will also be notified of the extension.

5.8 Comments by Respondent
The respondent against whom the allegation was made will be given a copy of the report and evidence considered by the assessment committee. The respondent must submit written comments on the report within 20 working days of receipt of the report. These comments will be attached as an addendum to the assessment report.

5.9 Decision by PVC(R)
After receiving both the report and the written comments of the respondent, if any are made, the PVC(R) shall determine whether to conduct a formal investigation, conclude the matter or take some other appropriate form of action. The PVC(R) shall inform the Vice-Chancellor of his/her decision, and shall send him a copy of the assessment report, and any comments submitted by the respondent, within five working days of receiving the report.

The PVC(R) will inform both the complainant and the respondent of his decision in writing.

Formal Investigation (Stage 3)

6.1 Purpose
The purpose of the formal investigation is to examine and evaluate all relevant facts to determine whether research misconduct has occurred and if so, the responsible person and the seriousness of the misconduct.

6.2 Notification Requirements
If the PVC(R) decides that a formal investigation will be conducted, he will notify both the respondent and the complainant in writing and remind them that they are expected to co-operate in the investigation. Failure to do so may render themselves open to disciplinary action by the University against them.

The PVC(R) shall, where required to do so under the terms of any funding conditions, notify any bodies that provide funding related to the research of the individual concerned, that an investigation is to take place. Similarly the PVC(R) shall also notify any other body related to the research concerned in the event that the University is contractually obliged to notify that body at this stage in the investigation.

6.3 Appointment of Investigation Committee
The PVC(R) will appoint an investigation committee consisting of at least three persons (which should not include himself), and a member of the Human Resources directorate. None of the investigation committee shall have served on the assessment committee or have been previously involved with the case. Normally at least one member of the committee will be appointed from a school or research institute outside the faculty concerned. The committee shall be chaired by a member of the committee external to the faculty concerned appointed by the PVC(R). Membership may include appointees external to the University if no qualified or competent members can be appointed from within the University. Members of the investigation committee must not have any conflicts of interest with the respondent or complainant or the case in question, and they must have the necessary expertise to examine the evidence, interview the witnesses and conduct the investigation. The investigation committee will keep written records and the committee will be provided with secretariat support by the Registrar.

The PVC(R) will notify the respondent of the proposed constitution of the investigation committee. If the respondent submits a written objection to any of the persons appointed to the investigation committee, the PVC(R) may replace the challenged person with a qualified substitute. If the PVC(R) does not replace the challenged person, the reasons for the objection and its over-ruling should be part of the investigation report. Not more than two challenges to the constitution of the investigation committee may be made by the respondent.

6.4 Investigation Process
The investigation will be initiated within 30 working days of the completion of the assessment if findings from that assessment provide sufficient basis for conducting an investigation.

The investigation will include examination of all documentation including relevant research data materials, proposals, publications, correspondence, memoranda, and notes of telephone calls, and any other documents deemed by the committee to be pertinent to the investigation. The investigation committee may call upon witnesses to be cross-examined and
invite expert witnesses to comment and be cross-examined. The respondent will have the opportunity to be interviewed and may be accompanied at interview by a friend such as a trade union representative, a work colleague or other appropriate individual. The respondent or his friend may submit evidence to the committee and cross-examine witnesses. Whenever possible interviews should be conducted of all individuals involved in making the allegations, and other individuals who might have information regarding key aspects of the allegations. A verbatim record of these interviews should be prepared by the committee secretariat to ensure factual accuracy, and included as part of the investigation report.

6.5 Time Limit for Completing Investigation Report
An investigation should normally be completed within 60 working days of the appointment of the investigation committee. This includes conducting the investigation, preparing the report of findings, making the report available for comment by the respondent and submitting the report to the PVC(R). An extension in this time may be approved by the PVC(R) where it is impracticable for the full process of the Investigation to be carried out within this time-frame.

6.6 Investigation Report Contents
The final investigation report must state how the investigation was conducted, describe how and from whom the information was obtained relevant to the investigation, state the findings and explain the basis for the findings. It must also include the full verbatim reports of the interviews. The report must state explicitly whether in the view of the investigation committee research misconduct has occurred.

6.7 Comments by the Respondent
The PVC(R) shall provide to the respondent a copy of the report and evidence considered by the investigation committee and offer the respondent an opportunity to comment on the report. Comments from the respondent must be submitted to the PVC(R) within 20 working days of receipt of the report and shall be attached as an addendum.

7 Outcome and Subsequent Actions (Sanctions/Disciplinary procedures)
The PVC(R) shall pass the investigation report together with comments if any, from the respondent, to the Vice-Chancellor or whoever is authorized under the University Statutes and Ordinances concerning staff discipline, to determine what action should be taken in accordance with the University’s disciplinary procedures as set out in the Statutes. If it is decided that a formal disciplinary panel should be set up, the report of the investigation committee will form part of the evidence to be considered by the disciplinary panel.

If there is a finding of research misconduct at the conclusion of any disciplinary process, or if the respondent admits any research misconduct, the University may convey the findings to appropriate bodies. These may include the General Medical Council, or other professional body, any relevant grant-awarding body or any other public body with an interest, the editors of any journal which have published articles by the person against whom the allegation has been upheld, or any other body which in the opinion of the University is likely to be affected by the research misconduct in question. All such disclosure must be limited to misconduct upheld in relation to research relevant to such bodies or published by such journals. Where an appeal is lodged this fact will also be conveyed to the bodies concerned, as will the outcome of the appeal.

8 Restoration of Reputations
If the allegations are not upheld and especially in the event that the University becomes aware that the allegations have become public, the University will take all reasonable steps to restore the reputations of persons alleged to have engaged in misconduct. This will include taking appropriate steps to inform all parties previously notified of the alleged misconduct, of the outcome of the disciplinary procedure and to publish a notice stating the outcome of the investigation where so requested to by the respondent.

9 Appeal by the Complainant against a decision not to pursue the allegation.
If the complainant is not satisfied with any decision reached during this procedure, he may have recourse to the University's Policy and Procedure on Public Interest Disclosures.

10 Malicious Accusations
Where the outcome of a preliminary action, assessment or investigation indicates that an allegation has not been made in good faith, the University may decide to pursue disciplinary action against the complainant where he is employed by the University, and appropriate civil action through the courts against an external complainant.

11 Maintenance of Records
Records of assessments or investigations will be maintained for not less than seven years after the termination of the Investigation. Where required to do so the University may make these records available to external organisations.

Annex 1 - Definitions
Allegation means a written statement setting out the grounds on which the complainant believes misconduct has taken place.
Assessment means information gathering and initial fact-finding to determine whether an allegation or apparent instance of research misconduct warrants an investigation.
Complainant means a person who makes an allegation of research misconduct.
Conflict of Interest means the real or apparent interference of one person's interest with another, where potential bias may occur due to prior or existing personal or professional relationships.
Good Faith Allegation means an allegation of research misconduct made by a complainant who honestly believes that research misconduct may have occurred. A complainant who recklessly disregards evidence that disproves an allegation has not made an allegation in good faith.
Investigation means the formal examination of all relevant facts to determine if misconduct has occurred, and if so, the responsible person and the seriousness of the misconduct.
Preliminary Action means the immediate evaluation by the PVC(R) of an allegation of research misconduct to determine whether the allegation falls within the scope of the definition of misconduct and whether there is sufficient evidence to warrant an assessment.
Respondent means the person against whom an allegation of research misconduct is directed, or the person who is the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.
Research misconduct or Misconduct means fabrication, falsification, plagiarism or other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research. It does not include honest error or honest differences in interpretations or judgements of data.
Copyright License Agreement

This institution 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

For more information contact the University’s Copyright Licensing Co-ordinator – Robin.King@ncl.ac.uk
STUDENT COMPLAINT FORM

Please note: the information provided on this form will be treated as confidential and will not be passed to anyone outside the Student Progress Section without your consent. It is very important that you read the notes attached before completing the form.

1. Your Details

Name .........................................................        Student Number .........................................................

School ............................................         Programme of Study .....................................

Year of Study ............            Name of Tutor/Supervisor ...........................................................

Address (see Guidance note 1).

Telephone:.............................................................………… .E-mail................................................................

2. Complaint

Please describe the grounds for your complaint. It would be helpful if you would include the names of all people involved where known. (Please continue on a separate sheet if necessary)

Have you taken up your complaint with the person(s) involved? YES/NO*

Have you raised the matter with your Head of School? YES/NO*

If your answer to either of the above questions is 'no', please explain why and explain with whom within the University, if anyone, you have raised the matter (see Guidance note 2b).

Do you consent to the Student Progress Section investigating your complaint with the individual(s) concerned and all other parties likely to be helpful in providing a solution? (see Guidance note 3)

YES/NO* * Delete as applicable (PTO)

What outcome are you hoping for?

Signature ................................................................. Date ............................
Note 1

The University is concerned that any complaints which cannot be resolved with the individual(s) concerned or with the help of the relevant head of school are investigated carefully. Students who submit a completed Complaint Form are invited to discuss the matter with a member of staff in the Student Progress Section to help clarify the position. If you are able to provide a telephone number and/or your e-mail address, it will make it easier for the Student Progress Section to contact you. If you do not supply a telephone number or e-mail address, you will be contacted by letter.

Note 2

a) This form is designed for use by any student who wishes to make a formal complaint about a service or member(s) of staff or a student within the University where it has not been possible to resolve the problem with the service or individual(s) concerned. The Complaints Procedure does 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 addition, the University has separate procedures for dealing with more specific types of difficulty and information about these is contained in the following documents:

- Equal Opportunities Policy
- Student Policy on Sexual and Racial Harassment
- Student Disciplinary Procedures
- Information booklets produced by student residences (for complaints relating to University accommodation).

If you need to use any of these documents, you should ask your tutor or supervisor or head of school for advice or help, or seek advice from the Student Progress Section.

If you are unsure which procedure you need to follow for your particular case, please contact the Student Progress Section for advice.

b) It is expected that you will have attempted to resolve the matter about which you wish to complain by raising it with the individual(s) concerned or that you have consulted your tutor or supervisor, head of school or other member of staff to assist you. If you have not done so, you are asked to consider doing so before completing this form.

c) If you decide that you do need to complete this form, you may find it helpful to read ‘Newcastle University and You’ if you are an undergraduate student or ‘Postgraduate Newcastle’ if you are a postgraduate student. These Student Charter documents explain what level of service you can expect from the University and, in turn, what is expected from you. Both documents are accessible from the following website: www.ncl.ac.uk/spo

d) You should note that it is important to lodge a complaint as soon as possible after the event in question, as delays are likely to make it more difficult to investigate and resolve them. Complaints received more than 12 months after the event(s) in question will not normally be investigated.

This procedure may be followed by students who have left the University within the last 12 months.

Note 3

If the Student Progress Section is to pursue your complaint, it will need to take the matter up with all those concerned and it can only do this with your consent. Even if you indicate that you do not wish the matter to be taken further, however, you are encouraged to take up the invitation to speak to someone in the Student Progress Section.

WHAT HAPPENS NEXT?

As explained in Note 1 above, once you have made a formal complaint by completing this form, the Student Progress Section will acknowledge receipt of your form within seven working days and will invite you to discuss the matter further. If you agree to the matter being investigated, the Student Progress Section will proceed as quickly as possible. It should be recognized that it may take some considerable time to gather and consider all the necessary information, but the Student Progress Section will endeavour to complete its investigation within six weeks of the receipt of the Complaints Form. As far as possible you will be kept informed of progress and at the outcome of the investigation you will be notified in writing of the result.
Useful Contacts

The most important contact relate to the three Faculty Graduate Schools.

**Faculty of Humanities and Social Sciences Graduate School**

7th Floor Daysh Building  
(NB – access via 5th Floor Claremont Tower)  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE1 7RU  
Telephone: +44 (0) 191 222 5503  
Fax: +44 (0) 191 222 7001  
E-mail: hss.gradschool@ncl.ac.uk

**Faculty of Medical Sciences Graduate School**

Medical School  
Framlington Place  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE2 4HH  
Telephone: +44 (0) 191 222 7002  
Fax: +44 (0) 191 222 6521  
E-mail: See the Faculty Section of this Handbook

**Faculty of Science, Agriculture & Engineering Graduate School**

Ground Floor, Agriculture Building  
University of Newcastle upon Tyne  
Newcastle upon Tyne  
NE1 7RU  
Telephone: +44 (0) 191 222 6086  
Fax: +44 (0) 191 222 8533  
E-mail: sage.gradschool@ncl.ac.uk
Other Contacts:

<table>
<thead>
<tr>
<th>Service</th>
<th>Telephone / Fax</th>
<th>E-mail</th>
<th>Website</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accommodation Office</strong></td>
<td>0191 222 6360</td>
<td><a href="mailto:Accommodation-enquiries@ncl.ac.uk">Accommodation-enquiries@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/services/accom">www.ncl.ac.uk/services/accom</a></td>
</tr>
<tr>
<td></td>
<td>Fax: 0191 222 6313</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Careers Advisory Service</strong></td>
<td>0191 222 7748</td>
<td></td>
<td><a href="http://www.careers.ncl.ac.uk">www.careers.ncl.ac.uk</a></td>
</tr>
<tr>
<td><strong>Chaplaincy</strong></td>
<td>0191 222 6341</td>
<td><a href="mailto:Michael.Haslam@ncl.ac.uk">Michael.Haslam@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/chaplaincy">www.ncl.ac.uk/chaplaincy</a></td>
</tr>
<tr>
<td><strong>Childcare</strong></td>
<td>0191 222 3918</td>
<td><a href="mailto:Childcare.union@ncl.ac.uk">Childcare.union@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/student-support/welfare.htm">www.ncl.ac.uk/student-support/welfare.htm</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><a href="mailto:uncle.union@ncl.ac.uk">uncle.union@ncl.ac.uk</a></td>
</tr>
<tr>
<td><strong>Counselling Service</strong></td>
<td>0191 222 7699</td>
<td><a href="mailto:Student-counselling@ncl.ac.uk">Student-counselling@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/student.counselling">www.ncl.ac.uk/student.counselling</a></td>
</tr>
<tr>
<td><strong>Disability Service</strong></td>
<td>0191 222 7623</td>
<td><a href="mailto:Disability.Unit@ncl.ac.uk">Disability.Unit@ncl.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td><strong>Finance Office</strong></td>
<td>0191 222 5215</td>
<td><a href="mailto:cash@ncl.ac.uk">cash@ncl.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td><strong>Financial Assistance</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>International Office</strong></td>
<td>0191 222 8152</td>
<td><a href="mailto:International.office@ncl.ac.uk">International.office@ncl.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td><strong>Language Centre</strong></td>
<td>0191 222 7535</td>
<td><a href="mailto:Languagecentre@ncl.ac.uk">Languagecentre@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/langcen">www.ncl.ac.uk/langcen</a></td>
</tr>
<tr>
<td><strong>Research and Innovation Services</strong></td>
<td></td>
<td></td>
<td><a href="http://www.ncl.ac.uk/ris">www.ncl.ac.uk/ris</a></td>
</tr>
<tr>
<td><strong>Student Advice Centre</strong></td>
<td>0191 239 3979</td>
<td><a href="mailto:Student-advice-centre@ncl.ac.uk">Student-advice-centre@ncl.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Via “SAC” logo at <a href="http://www.unionsociety.co.uk">www.unionsociety.co.uk</a></td>
</tr>
<tr>
<td><strong>Student Progress Section</strong></td>
<td>0191 222 6587</td>
<td><a href="mailto:Student-Progress@ncl.ac.uk">Student-Progress@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/spo">www.ncl.ac.uk/spo</a></td>
</tr>
<tr>
<td><strong>Students’ Union (The Union Society)</strong></td>
<td>Reception: 0191 239 3900</td>
<td><a href="mailto:Union.society@ncl.ac.uk">Union.society@ncl.ac.uk</a></td>
<td><a href="http://www.unionsociety.co.uk">www.unionsociety.co.uk</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>The Library</strong></td>
<td>0191 222 7662</td>
<td><a href="mailto:Lib-readerservices@ncl.ac.uk">Lib-readerservices@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/library">www.ncl.ac.uk/library</a></td>
</tr>
<tr>
<td>(Liason Librarians named in Part Two)</td>
<td></td>
<td><a href="mailto:Lib-walton-rs@ncl.ac.uk">Lib-walton-rs@ncl.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td><strong>University Computing Service</strong></td>
<td>0191 222 8039</td>
<td><a href="mailto:UCS.Reception@ncl.ac.uk">UCS.Reception@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/ucs">www.ncl.ac.uk/ucs</a></td>
</tr>
<tr>
<td><strong>University Safety Office</strong></td>
<td>0191 222 6274</td>
<td><a href="mailto:Safety-office@ncl.ac.uk">Safety-office@ncl.ac.uk</a></td>
<td><a href="http://www.ncl.ac.uk/internal/safety">www.ncl.ac.uk/internal/safety</a></td>
</tr>
<tr>
<td>for specific contacts see website</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>University Radiation Protection Office</strong></td>
<td>0191 222 6155</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Acknowledgement. Graphics by Christine Jeans@ncl.ac.uk