



**Research Studies
Handbook**

Code of Practice for Research Study

The information provided in this booklet is correct at the time of going to press. The University reserves the right to make changes to regulations and procedures at any time, before or after a candidate's admission. As much notice as possible will be given of such changes.

Students should refer to the online version of this document for the most up to date edition of this Handbook

[https://www.ulster.ac.uk/ data/assets/pdf file/0014/71501/Handbook.pdf](https://www.ulster.ac.uk/data/assets/pdf_file/0014/71501/Handbook.pdf)

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Key Processes for Research Students – what happens and when

These are the key admin and academic processes for MPhil and PhD students and when they happen during your period of study.

You are asked to note, in particular, the processes that occur on an annual basis* - re-enrolment and the return of annual reports. Please ensure that you adhere to the instructions provided at those times. It is **absolutely essential** that you return the forms or attend on the dates specified. If you do not, your progress will be delayed, suspended or terminated.

Process	When – full time	When – part time
Re-enrolment*	Around mid-September, annually	Electronically, every summer
Initial assessment	Within four months of first registration	Within ten months of first registration
Annual report*	First week in May, annually	First week in May, annually
Confirmation/formal assessment	Between eight and twelve months of first registration	Between twelve and twenty-four months of first registration
Final Assessment	Within thirty months of first registration	Within sixty months (PhD) or thirty-six months (MPhil) of first registration
Hand in of Intention to Submit	Three months before proposed submission date	Three months before proposed submission date
Submission of thesis	Within thirty-six months (PhD) or twenty-four months (MPhil) of first registration	Within seventy-two months (PhD) or forty-eight months (MPhil) of first registration

Applications relating to any change in circumstances (such as change from full-time to part-time, leave of absence, extension etc) must be completed as far in advance of the date of change as possible. Three months allows time to process forms and make any adjustments to finances.

Introduction

This handbook has been prepared by the University Research Degrees Committee (RDC) and Research Student Administration of Ulster University to help research students and their supervisors find their way through the various administrative stages of a research degree and to attempt to clarify who is responsible for doing what at each stage. The Faculty Research Graduate Schools (RGS) will also provide a range of guidance materials relevant to their students.

The handbook is divided into four main sections: an introduction, providing some background information; a section on the procedures which relates to all research students; a section on the procedures relating to those who find it necessary to make changes during the course of their research studies; and, finally, in the appendices, the various regulations and guidance notes dealing with entry to, progress through, and completion of a research degree.

Copies of this handbook, which is the document containing the terms and conditions of your registration as a research student and which will be used in the event of any dispute, are available for all research students and supervisors from Research Student Administration at Jordanstown and Coleraine.

A general University-wide student handbook, available from Registry, has also been prepared and this should be referred to for general information including disciplinary and other policy matters.

Research Student Administration

The University's vision is to be a university with a national and international reputation for excellence, innovation and regional engagement. Underpinning this vision, the university's strategy is to pursue a research, technology and knowledge transfer strategy which identifies and supports key wealth creating sectors; generates competitive advantage; exploits intellectual property; and provides or contributes to the development of facilities for innovation and growth including campus incubators and Science Park sites with associated distributed economic development nodes. Knowledge transfer will also involve the underpinning and promotion of social and cultural development in Northern Ireland through the application of research in the social sciences and humanities.

Research and Impact is responsible for implementing the research policy of the University, steered by Senate, through the University Research and Impact Committee (RIC) and the RDC.

The main point of contact for research students is Research Student Administration which has offices on the Coleraine and Jordanstown campuses. Staff in this section provide administrative support for all matters relating to the academic progress of research students from first application through to final examination.

Day to day enquiries are dealt with by:

Jordanstown and Belfast

Gwen McCracken	extension 66234	e-mail: g.mccracken@ulster.ac.uk
Heather Law	extension 66079	e-mail: hr.law@ulster.ac.uk

Coleraine and Magee

Angela Rippey	extension 24592	e-mail: a.rippy@ulster.ac.uk
Eileen Shannon	extension 24455	e-mail: e.shannon@ulster.ac.uk

Research Graduate Schools

All academic staff in the University are located within Faculties. All Faculties have established Research Institutes and Research Graduate Schools, to manage research, research student induction and

training, monitor and manage student progress, provide appropriate resources for research students and their general welfare, increase the numbers of research students and develop the Faculty as a centre of excellence in graduate research. The current deans, faculty administrative staff and heads of each RGS are as follows:

Arts

Professor Jan Jedrzejewski (Dean)
Mr Gary Kendall (Head of Faculty Administration)
Mrs Elaine Kane extension 23161 email: e.kane@ulster.ac.uk
Dr Lisa Fitzpatrick (Head of RGS) extension 24581 email: l.fitzpatrick@ulster.ac.uk
Professor Paul McKeivitt (Acting Head of RGS until January 2017) extension 75433 email: p.mckeivitt@ulster.ac.uk

Art, Design and the Built Environment

Professor Ian Montgomery (Dean)
Mr Philip Doherty (Head of Faculty Administration)
Mrs Irene Moreland extension 66222 email: i.moreland@ulster.ac.uk
Professor Neil Hewitt (Head of RGS) extension 68566 email: nj.hewitt@ulster.ac.uk

Computing and Engineering

Professor Liam Maguire (Dean)
Ms Bernadette McKeivitt (Head of Faculty Administration)
Mrs Margaret Cooke extension 68210 email: m.cooke@ulster.ac.uk
Professor Sonya Coleman (Head of RGS) extension 75030 email: sa.coleman@ulster.ac.uk

Life and Health Sciences

Professor Carol Curran (Dean)
Mrs Glynis McBride (Head of Faculty Administration)
Mrs Stephanie Hunter extension 24393 email: sr.hunter@ulster.ac.uk
Ms Anita Brewster extension 24046 email: a.brewster@ulster.ac.uk
Professor David Hassan (Head of RGS) extension 66666 email: d.hassan@ulster.ac.uk

Social Sciences

Professor Paul Carmichael (Dean)
Mr Colm Crean (Head of Faculty Administration)
Ms Carol Boyd extension 68001 email: cm.boyd@ulster.ac.uk
Dr Jackie Reilly (Head of RGS) extension 23009 email: j.reilly@ulster.ac.uk

Ulster University Business School

Professor Marie McHugh (Dean)
Mr Tom O'Neill (Head of Faculty Administration)
Ms Heather Brown extension 68987 email: h.brown@ulster.ac.uk
Professor Barry Quinn (Head of RGS) extension 24168 email: b.quinn@ulster.ac.uk

Research Degrees at Ulster University

The University offers a number of research degrees including MRes, MPhil, PhD and MD.

The degree of MPhil is awarded to a candidate who: has undertaken an independent critical investigation and evaluation of an approved programme of research; has demonstrated an understanding of research methods appropriate to their particular subject area; is able to give evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject; and who has submitted and defended a thesis to the satisfaction of the examiners.

The degree of PhD is awarded to a candidate who: has undertaken a sustained and independent critical investigation and evaluation of an approved programme of research; has made an original contribution to the knowledge of the subject; has demonstrated a thorough understanding of research methods appropriate to their particular subject area; is able to give evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject; and who has submitted and defended a thesis to the satisfaction of the examiners.

The normal periods of registration for PhD and MPhil are:

PhD: full-time 3 years; part-time 6 years

MPhil: full-time 2 years; part-time 4 years

The MD Programme has its own regulations, closely based upon those for MPhil and PhD. Details of the MRes programme are available from the relevant course co-ordinator.

Candidates who wish to undertake a programme of work leading to the presentation of a thesis accompanied by material other than in written form must seek the prior approval of the Board of the Faculty.

PhD with practice

The PhD with practice submission shall be a substantial piece of work in which the candidate is required to demonstrate a thorough knowledge and critical appreciation of the subject. The submission will normally contain elements of original, creative practice supported by appropriate documentation indicating its originality and contribution to knowledge within the discipline or interdisciplinary field. Creative practice may form part of a PhD submission in a range of disciplines, including art and design, audio-visual media, music and drama, creative writing, performance, museology, and ethnology. All submissions involving practice work must include a permanent record of the practice element that should be stored in a way that makes it accessible and retrievable. Further information on the PhD with practice can be found at the end of the regulations for PhD (Appendix 2) and in Appendix 17.

Research Students

To be considered for admission to a research degree at Ulster University, potential applicants must have a first or upper second class honours degree in a subject area relevant to their proposed research project. At the discretion of the Senate, applicants with alternative qualifications, or lesser qualifications and suitable experience, may be considered for admission. This will normally include the successful completion of a piece of work set at honours degree level.

To be considered for an award or grant to support their studies applicants should possess or expect to gain a first or upper second class honours degree. Awards available to those interested in full-time study are listed in Appendix 15 and Appendix 16. Very few awards are available for part-time study and those that exist are linked to professional development. Employers may be prepared to pay part-time fees; however many students support themselves in part-time study. Full-time students should note that if they are in receipt of an award they are entitled to work a maximum of six hours or one day per week in an area related to their research topic. Permission to undertake such work is at the discretion of the Head of the relevant RGS and/or supervisor(s).

Non-EEA Research Students

Overseas applicants must provide transcripts of their qualifications, in English as far as possible, and evidence of English language ability in the form of an approved Secure English Language Test.

In order to retain a Licence from the Home Office to enable the University to recruit non-EEA students, the University is required to monitor students' attendance and report to the Home Office any periods of absence or withdrawal from their programme of study. To this end, all non-EEA students are required to sign-in every two weeks at their School Office. Details of the monitoring process will be provided on registration. Further details on the requirements for monitoring international students are detailed in Appendix 24.

Disclosure of personal circumstances affecting progress

Research students are encouraged to disclose any disability or long term ill health condition at the earliest opportunity, so that the University can consider appropriate reasonable adjustment(s).

Where a student wishes an examining/assessment board to take into account any difficult personal circumstances which have impacted on his or her ability to progress with the research programme, it is the student's responsibility to make the board aware of these circumstances prior to examination/assessment. If the student chooses not to disclose any such circumstances (of which he or she would reasonably be expected to be aware), then they cannot at a later stage be used as grounds for appeal.

Research Supervision

Supervision at Ulster University is provided by experienced, research-active members of staff who are based within Faculties, Research Institutes and are attached to units of research assessment which reflect their areas of expertise and publication.

Staff involved in supervision are expected to be able to advise students on aspects of their research projects and on matters relating to University procedures. Supervisors are limited in the number of students they can supervise to twelve students. Research Student Administration is always prepared to clarify any aspect of the regulations and other guidance materials. A Code of Practice relating to potential conflicts of interest in the supervision of research students has been adopted (see Appendix 9).

If, in exceptional circumstances, it is the case that one of the supervisor team has not supervised to successful completion they shall receive training in supervision prior to appointment or as soon as possible thereafter (see Appendix 10).

Where (i) collaborative study requires the student to spend a substantial amount of his or her time at the premises of the collaborating organisation or (ii) the student is undertaking the programme by part-time distance study, the appointment of an external supervisor will be considered. The external supervisor will be a subject specialist and will hold recognised academic qualifications in the area of study. The role of the external supervisor must be discussed and agreed prior to an appointment being made. Where an external supervisor has been appointed, he or she will be added to the supervisor team but may not be appointed Chair as this role must be held by a member of staff of the University. A record of the external supervisor's involvement will be maintained by the University subject to the Data Protection Act. It is anticipated that the contribution of the external supervisor will be acknowledged in any thesis or publications arising from the research. Any disagreement or dispute between the University supervisor(s) and the external supervisor relating to the progress of the student or the project will be referred to the Head of the RGS who will seek a resolution. Details of the procedures to be adopted in appointing an external supervisor are available from Research Student Administration.

Professional Researcher Development

Learning to be a researcher involves learning to confidently and competently do what researchers do. During a doctorate, students will therefore be challenged to build knowledge and skills that are specifically relevant to both the individual and to the doctoral study.

However, there are commonly shared skills that are central to being a researcher, yet are not specific to any one study, discipline or context. For example, all researchers need to be able to project manage a research study, find and solve complex problems and communicate their research findings in different ways, to different audiences.

Even though researchers continue to develop these key skills throughout their career, Professional Researcher Development aims to help fast-track student's introduction to these key researcher skills so they can be used to support the doctorate. In addition, the Researcher Development Team will help reflect on what skills have been developed during the doctorate, and advise on how to optimise and demonstrate these going forward in your research careers.

Currently the Researcher Development website is under construction. In the interim, details of courses will be routinely emailed to all doctoral students. Enquiries relating to Professional Researcher Development will be dealt with by:

Karen Adair extension 68161 e-mail: k.adair@ulster.ac.uk

Dr Janine Stockdale extension 66868 e-mail: dj.stockdale@ulster.ac.uk

The Student Portal

As a research student of the University, you will be given access to the Student Portal upon registration. This portal is currently being developed to provide research students with an online gateway through which important information relating to your degree programme may be accessed. At present, access to relevant RS forms mentioned throughout this Handbook are available through the Portal and further developments are forthcoming.

Presentation of Thesis and Plagiarism

Instructions on the presentation of theses are contained in Appendix 6 of this document. Students should note, however, that it is a requirement that all assessment material, including the final thesis, be presented in electronic format in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses.

Research Governance and Research Ethics

Research governance is about the regulation, monitoring and quality assurance of research. It includes legislation and procedures that impact upon universities, the NHS and other bodies. The remit of the University's Research Governance section is to keep local, national and other policy under review and to disseminate relevant information to the disciplines and researchers that are affected. The Research Governance section also provides an interface with the HSC and individual health and social care trusts in Northern Ireland and with NHS trusts in GB and it has clear responsibilities in ensuring that critical requirements have been met and arrangements put in place before research involving the health and social services can proceed.

Research governance is also a mechanism for managing certain parts of the research process, including permissions and authorizations, and for our purposes it primarily relates to research involving human beings as participants in – and especially subjects of – research, particularly in the sciences and social sciences. However, all research in all disciplines should be conducted with similar principles in mind.

Research ethics is about ensuring that research, especially research involving human participants or subjects, is conducted appropriately. Some basic general principles normally apply. For example: the research should not have the intent or obvious capacity to cause injury or other (psychological, emotional) harm; people should not be coerced or falsely led into taking part; consent and appropriate permission must be obtained before using individuals' personal details or tissues; and all relevant information – including any risks or disadvantages – should usually be made clear in advance to potential participants.

These are amongst the issues that researchers need to address in their research design and which will be considered and commented upon by a research ethics committee.

How does all of this affect research students?

Students who want to carry out research on human participants (this includes not only physical/biomedical interventions, but also psychological and many questionnaire- and survey-based studies, and the acquisition of participant data) must go through certain procedures to ensure compliance with the University's policies and relevant legislation.

All research involving humans as participants must be submitted for peer review and then filter committee consideration followed, where necessary, by submission to the University Research Ethics Committee or (for studies involving the NHS or HSC) ORECNI.

Filter committees have been established in all of the areas in which significant levels of human research are likely to take place. Contact details are available from the Research Governance section or your school/research institute.

These procedures have a positive impact on research quality and the time invested in them will help to ensure that the participants or subjects, the researchers and the University are protected – as far as possible - from risk.

If blood or other human tissues are to be used, the Human Tissue Act applies and advice must be sought from an appropriate individual. All research involving the procurement of human tissues (category D in the University's procedures) must be reviewed by an appropriate research ethics committee before commencement.

Research Integrity

All research students (and others involved in the research process) are required to undertake and pass the University's online short course *Research Integrity* which is available through Blackboard. The course takes approximately one hour to complete and provides grounding in the essentials of good research conduct, and guidance on how to avoid bad practice.

Please also refer to Appendix 19 – the University's *Code of Practice for Professional Integrity in the Conduct of Research*.

Procedures: Section 1 - All Students

Application (Application for Admission)

Applicants for research study are required to complete the online application process.

Applicants should ensure that they have a clear idea of their research proposal before submitting it for consideration. They should discuss the proposal with a member of academic staff in the appropriate area prior to application to ensure its acceptability for the chosen research degree. All applicants should provide comprehensive information on their academic record to date (including, where available, grades and percentage marks) and details of criminal convictions, actual or pending. The names of two referees should also be included with the application.

The University reserves the right to carry out a Protection of Children and Vulnerable Adults (NI) (POCVA) check on applicants who are likely to be working with vulnerable groups such as the elderly, children, hospital patients or the handicapped.

Those applying for full-time study and seeking an award from the Department for the Economy (DfE), or any other awarding body, should ensure that they complete the online application process as early as possible and certainly by no later than the published closing date. The online application system can be found at:

<http://www.ulster.ac.uk/applyonline>

Registration can occur at any time during the year but may be attributed to the first of any given month for administration purposes. The main intake of new, full-time students is on 1 October and all continuing students are required to re-enrol at this time. The actual date of registration will vary but is likely to be in mid-September. Research Student Administration will communicate the appropriate details to all concerned.

Supervisors should be prepared to provide advice to potential applicants on the preparation of proposals and on whether they would deem an applicant to have the relevant qualifications and experience to undertake the proposed research project. Experienced supervisors should also be able to offer guidance to applicants on time-tabling, workload, preparation and the presentation of applications.

The Faculty Research Graduate School (RGS) is available to answer general queries relating to research studies and should be able to direct potential applicants to members of academic staff for guidance on submitting an application.

Research Student Administration will advertise full-time research opportunities as they become available and will check the applicant's qualifications, ascertain the awards being applied for (where appropriate) and create a new record on the University Admissions System. Research Student Administration will then send the application to the relevant Faculty RGS with notification of the level of the qualification (where this is not clear) and other relevant information such as English language proficiency for overseas applicants for consideration and further processing.

Following receipt of a completed application (via Research Student Administration) the Faculty will take up references and pass the form to members of academic staff for consideration. At this stage, if the application is positively received, supervisors should be identified. If supervisors are identified and are in a position to accept the student, the Faculty must decide whether or not it wishes to admit the student. If not, Research Student Administration will write to unsuccessful applicants.

An interview will form part of the selection process for all applicants.

Where the application has been received for consideration under the University's annual funding/admissions competition, it will be subject to a specific process and set of criteria. These are reviewed and published on an annual basis.

Admission (RS2 - Recommendation for Admission to Research Studies)

The Faculty/RGS will arrange for the completion of the RS2 and will ensure that it has been approved by the supervisors, Head of School and/or Research Institute Director (who is required to give an undertaking that the resources necessary for successful completion of the study are available, as well as assess the suitability of the supervisor team) and Dean or Head of RGS. The RS2 and application along with other materials including references and transcripts will be returned to Research Student Administration.

If the University agrees to admission, Research Student Administration will write to the successful applicant and will specify a date and place of registration, the degree for which enrolled, the fee payable (if appropriate) and details of supervisory arrangements. For applicants with unusual entry qualifications or proposed supervisory arrangements, Research Student Administration will arrange for consideration of the application and RS2/RS2c by the RDC on behalf of the University Senate.

The student will also receive an intellectual property assignment agreement which must be completed and returned prior to registration. Failure to return this document will result in delayed registration or withdrawal of the offer of a place. Where a collaborating organisation is involved in the research, intellectual property matters will be subject to a specific agreement that must be signed by all parties. The University's Intellectual Property policy is detailed in Appendix 13.

Registration (including annual re-enrolment for all continuing students)

The student will attend Registration at the place and time specified by Research Student Administration. Registration. Annual re-enrolment is compulsory and usually takes place in mid-September on Coleraine, Jordanstown and Magee campuses. Belfast returning students will re-enrol on the Jordanstown campus. Part-time returning students will be required to re-enrol electronically. Details of the process will be provided annually.

Those who may be unable to register or re-enrol on the specified dates must inform Research Student Administration in advance. Alternative arrangements may be made at the discretion of Research Student Administration but it is important that students make every effort to attend as notified. Late registration fees will be levied by the University.

The supervisor is expected to meet a new student as soon as possible after registration to discuss the project and to outline the initial phase of the work.

Induction

Research Student Administration will contact all new full-time students inviting them to attend an induction and reception. This will be held at Jordanstown for Jordanstown and Belfast students and at Coleraine for Coleraine and Magee students; it is usually during late September or early October, within a few days of registration.

The student is required to attend this meeting as important information relating to research study will be discussed. It also provides an opportunity to meet academic and administrative staff involved in research, senior officers of the University and other research students. Topics covered will include the student's rights and responsibilities, welfare, an introduction to research at Ulster University including the structured training provided for all students and some of the facilities available on each campus.

The Faculty/RGS will contribute to the induction and will provide appropriate guidance and materials including information on Faculty procedures, structures and research groupings.

Attendance

It is expected that full-time students will be in attendance on a daily basis except by written agreement with their supervisors and Head of RGS. Full-time students are entitled to 40 days leave per academic year, to include public holidays and periods when the University is closed.

Meetings with Supervisors

During the period of research, a student is expected to meet the supervisor team regularly and frequently (weekly meetings are recommended for full-time students). It is required that certain meetings (e.g. monthly) between supervisors and students are designated as formal and that a record of these meetings is maintained. The supervisors, student and Head of RGS will retain a copy of the record. A part-time student is admitted on condition that visits to the supervisor take place at least three times each semester and during holiday periods as required. Part-time distance students are expected to attend for a minimum of six weeks during their period of study and are required to maintain regular contact by e-mail or other appropriate means. It is expected that part-time distance students will have an external supervisor in their home or other accessible institution.

Initial Assessment (RS3a)

The Faculty/RGS will, within four months of a full-time student's first registration, arrange to carry out an initial assessment of progress. This will be carried out within ten months for part-time students. The outcome of the assessment will be communicated to Research Student Administration via the RS3a.

The student is required to complete the appropriate sections of the RS3a and to prepare for the assessment as required by the Faculty. The student should also consider whether ethical approval is necessary for the project at this point in time and make arrangements to apply for such approval, where appropriate.

The supervisor team, in consultation with the student, is required to review progress to date, identify any issues to be addressed and ensure that ongoing training needs are identified prior to the assessment taking place.

Should the student wish the assessment panel to take into account any difficult personal circumstances which have impacted on his or her ability to progress with the research programme, it is the student's responsibility to make the panel aware of these circumstances prior to the initial assessment of progress. If a student chooses not to disclose any such circumstances (of which he or she would reasonably be expected to be aware), then they cannot at a later stage be used as grounds for appeal.

Students should note that it is a requirement that all assessment material, including documentation related to the initial assessment, be presented in electronic format in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses. It should be noted that only the RGS staff are permitted to run research student work through the TurnItIn software.

Annual Reports (RS3 and RS4)

Research Student Administration will, in April of each year, initiate the online reporting procedure for all research students. This consists of an RS3 which is completed by the student and a corresponding report which is completed by the supervisory team (RS4). These reports ask for a summary of progress to date from the student's and the supervisors' point of view; and for a recommendation from the supervisors on whether or not the student should progress to the next academic year.

The student is required to complete the report in full and is encouraged to be open and considered in his or her assessment. The report should be completed by, usually, 1 May. If reports are not submitted they will be pursued by the Faculty and Research Student Administration and progress to the next academic year may be delayed.

The supervisor team is also required to complete their report by 1 May, prior to consideration by the Head of the RGS or Dean. Supervisor reports will also be pursued if not returned.

The Faculty/RGS will receive and consider all RS3 and RS4 reports at the faculty progress board. In cases where the Head of RGS is also a member of the supervisor team, the RS3 reports will be considered by the Dean of the Faculty. When the forms have been considered by the faculty progress

board and any action identified and carried out, the RGS will notify Research Student Administration of any students who should not be progressed into the next academic year.

The annual re-registration process will not normally be permitted until an Annual Report has been received from the student. Students should also note that they will be given the opportunity to comment on the research degree provision at the University through completion of the satisfaction survey element of the form.

Confirmation of Registration Status (RS5)

All candidates for the degree of PhD, whether full or part-time will be required to undergo a formal assessment of progress. This procedure is known as the confirmation of registration status.

The format of the process and the possible outcomes are clearly indicated on the RS5.

The Faculty/RGS will have established procedures for confirmation of registration status and will have made these available to all research students and supervisors. These procedures must include the requirement for a piece of written work, and an oral component which may be in the form of an examination, presentation or seminar. The Faculty/RGS will write to all full-time candidates for the degree of PhD approximately ten months after the date of their initial registration reminding them of the requirement to apply for confirmation of their PhD registration status at between ten and twelve months following enrolment. Part-time students will also be reminded of the requirement to apply for confirmation of registration status at between twelve and twenty-four months following initial registration. Candidates for the degree of MPhil will also be required to undergo a formal assessment at this time.

The student is required to complete the RS5, following consultation with his or her supervisor team. The student will be expected to produce a piece of work describing progress to date and demonstrating the suitability of the project for submission at PhD level. The student will also be expected to have considered the structure and format of the remaining research and to have drafted a timetable for completion. Each student will undergo some form of oral examination, which may be conducted as a presentation or seminar arranged by the RGS, in addition to the submission of written work. The student will also be expected to demonstrate understanding of and will be assessed on the ability to apply the components of the Researcher Development programme provided during the first year of study.

The supervisor team will advise the student on what is required for the Confirmation process and may be expected to contribute to the making of the arrangements for the Confirmation process within the Faculty. Following completion of the Confirmation process, Research Student Administration will write to students confirming their PhD status or otherwise.

Should the student wish the assessment panel to take into account any difficult personal circumstances which have impacted on his or her ability to progress with the research programme, it is the student's responsibility to make the panel aware of these circumstances prior to the Confirmation. If a student chooses not to disclose any such circumstances (of which he or she would reasonably be expected to be aware), then they cannot at a later stage be used as grounds for appeal.

Students should note that it is a requirement that all assessment material, including documentation relating to the Confirmation, be presented in electronic format in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses. It should be noted that only the RGS staff are permitted to run research student work through the TurnItIn software.

The annual re-registration process will not normally be permitted until Research Student Administration has received notification from the Faculty of successful completion of all Confirmation formalities.

Final Assessment

The Faculty/RGS is required to undertake a final assessment of the student's progress within thirty months (full-time) and sixty months (part-time) of initial registration. The format of this assessment is at

the discretion of the Faculty/RGS concerned and may include presentation at a seminar or conference. Any documentation relating to the final assessment should be presented in electronic format, utilising industry standard software in order to facilitate the use of software designed to detect plagiarism.

Submission (RS11 - Notice of Intention to Submit)

The student should decide, if necessary following advice from the supervisory team, when he or she should submit the thesis. The RS11 must be submitted a minimum of three months prior to the chosen submission date. This enables Research Student Administration and the Faculty to begin making examination arrangements.

NOTE: Failure to submit the RS11 at the appropriate time may delay the examination.

Prior to submission, students should consult Research Student Administration booklet *Notes of Guidance for the Presentation of Theses for Research Degrees* (Appendix 6). Theses may be submitted, prior to examination, in a temporary binding. This may be arranged through the University Reprographics section and samples may be available for viewing in Research Student Administration. Four copies of a thesis (five for members of academic staff or for other students who for exceptional reasons require two External Examiners) and an electronic version on CD are required and all copies should be submitted to Research Student Administration. These will be distributed to the external examiner(s), the internal examiner, the chairperson of the Board of Examiners and the supervisor team. The student should, as far as possible, adhere to the declared date of submission.

A thesis for the degree of MPhil will not exceed 60,000 words in length. For PhD the limit is 100,000. These limits exclude appendices, footnotes, bibliographies and diagrams. Faculties may recommend lower word limits.

The supervisor team should ensure, as far as possible, that the thesis is ready for submission and examination and should be prepared to offer any advice required by the student.

Should the student wish the Board of Examiners to take into account any difficult personal circumstances which have impacted on his or her ability to progress with the research programme, it is the student's responsibility to make the Board aware of these circumstances prior to the initial oral examination. If a student chooses not to disclose any such circumstances (of which he or she would reasonably be expected to be aware), then they cannot at a later stage be used as grounds for appeal.

Students should note that it is a requirement that all assessment material, including the final thesis, be presented in electronic format in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses and should submit an electronic version on easily readable material, preferably CD. It should be noted that only the RGS staff are permitted to run research student work through the TurnItIn software as submitting work outside of the formal assessment mechanisms will lead to a higher than expected similarity match which is not in the best interests of the student.

Prior to submission, students should ensure completion and return to Research Student Administration of the student consent form (RS11b), stating which supervisor, if any, they wish to attend the oral examination. Students may only select one supervisor to accompany them into the oral examination.

In addition, the student must submit the RS17, the reassignment of student Intellectual Property Rights. It is the student's responsibility to obtain the signature of the IP Manager (Research and Impact) before submitting this form. Failure to submit this form will prevent the degree from being conferred by Senate and, therefore, the student will be unable to graduate.

Appointment of Examiners (RS12)

Research Student Administration, on receipt of the notice of intention to submit (RS11), will contact the Faculty requesting the initiation of the process of appointing examiners.

The Faculty/RGS, on receiving notification from Research Student Administration, will begin the process of selecting examiners for approval. One External Examiner (two for students who have been full-time members of staff for two or more years, or equivalent for part-time staff members) who should have previously examined at an appropriate level, one Internal Examiner and a Chairman are required. A CV for the proposed External Examiner, indicating any previous experience as an external examiner and supervisor must be supplied with the completed RS12 which must be approved by the Faculty. Due to recent changes in Home Office regulations, all external examiners must also provide evidence of their right to work in the UK prior to appointment. The RS12, along with the passport details or other supporting evidence, is then forwarded to Research Student Administration for approval by the RDC. Examiners must be selected in accordance with criteria noted in the Examiners' Handbook.

When the examiners are chosen and approved by the Faculty and the RDC, Research Student Administration will write to the External Examiner formally inviting him/her to accept the appointment. Assistance will also be offered with room booking, catering and accommodation.

Examination (Forms RS13a to RS15)

An oral examination is required to be held no less than four weeks from the date of the release of the thesis to the Board of Examiners and normally within three months of receipt of the thesis by the examiners. The examination will be held at the student's campus of registration. Where the examination is to be held on another campus, the student's written consent must be obtained prior to arranging the examination.

The examiners may, exceptionally, recommend that the requirement to hold an oral examination may be waived. If a recommendation is made to waive the oral examination, the Head of RGS and Research Student Administration must be informed.

Research Student Administration, following receipt of the thesis and confirmation of membership of the Board of Examiners, will distribute the thesis, guidance materials and report forms to all members of the Board of Examiners and the supervisor team. Research Student Administration will issue a note to the examiners and student detailing the date, time and venue of the oral examination once a date has been arranged by the Chair of the supervisor team. Research Student Administration will also send the Chairman, the Internal Examiner, the Head of RGS, the student and the supervisor team a report in electronic format, detailing the findings of the document comparison software.

The Chair of the supervisor team will arrange a suitable date for the oral examination with all members of the Board of Examiners and notify Research Student Administration as soon as possible. The Chair will complete Form RS15 and return it to Research Student Administration at least one week before the examination. One supervisor may attend the oral examination with the prior consent of the student and may only be present at those elements of the oral examination at which the student is also present. The supervisor should not contribute unless specifically invited to do so by the Chair. The Internal and External Examiners will complete their preliminary report forms (forms RS13a for MPhil or RS14a for PhD) and return them to Research Student Administration at least one week before the examination. These reports should be completed independently but may be shared between the Examiners prior to the oral examination once both reports have been received by Research Student Administration.

The student will attend the examination as arranged. Following the examination the Chairman of the Board of Examiners may, unofficially, inform the student of the recommended outcome. A letter of official confirmation will follow from Research Student Administration after approval by the Board of the Faculty within two weeks of the date of the oral examination.

Form RS13b/14b (Recommendation of Examiners) will confirm the recommendation of the Board which will be one of the following:

1. That the degree should be awarded (no changes or amendments need to be made);
2. That the degree should be awarded subject to minor corrections which should be completed within three months of receipt of notification;

3. That the degree should be awarded subject to corrections which should be completed within six months of receipt of notification;
4. That the candidate should revise and resubmit the thesis (usually within one year and will normally be required to undergo another oral examination);
5. Exceptionally, in the case of an MPhil candidate, that the degree of PhD should be awarded subject to appropriate amendments to the thesis;
6. In the case of a PhD candidate, that the degree of MPhil should be awarded either following resubmission within one year or following appropriate amendments to the thesis.
7. That the degree should not be awarded and no resubmission permitted (this is, in effect, an outright fail);

Once notification of the recommendation is received, the student, if he or she is not completely certain of the requirements or implications, must contact his/her supervisor team, or Research Student Administration, immediately.

Where the decision of the examiners is that the degree should not be awarded, they may recommend that no resubmission is to be allowed or that the thesis should be revised and resubmitted within one year of the formal notification of the recommendation to the candidate. The examiners are required to provide the candidate with clear information on the deficiencies of the thesis.

Final Submission of Theses

The student should make the necessary amendments to the thesis (if appropriate) as directed by the Examiners and have these amendments approved by the Internal Examiner prior to arranging final binding. The student should ensure that a detailed list of the amendments made is presented to the Examiner(s) on submission of the final draft of the thesis.

The student should then arrange to have the thesis bound in the appropriate format and colour of cloth with lettering in the approved style. Full instructions and names and addresses of binders are included in Appendix 6, although their inclusion in this booklet does not imply any recommendation on the part of the University.

Those awarded a degree without any required corrections should submit two bound copies to Research Student Administration within six weeks of the notification of the outcome of their examination. Those awarded a degree subject to corrections should submit two bound copies within three months or six months of the notification of the outcome of their examination, depending on the outcome. Additionally, those awarded the degree of PhD should complete and submit the Ulster eTheses Deposit Agreement, along with a copy of the abstract and title page(s) of the thesis and an electronic version in PDF on a CD. Students should note that additional copies for members of the supervisor team are at their own discretion and should not be lodged with Research Student Administration.

Research Student Administration will forward the bound thesis and electronic version of the thesis to the appropriate library, according to the campus location of the student and a bound copy of the thesis to the Head of RGS or designated member of staff, who will determine where the thesis is to be stored. Where a student has requested a two year hold to be applied to the thesis, Ulster University will hold both copies of the thesis until this time period has lapsed.

In accordance with the requirements of the University Code of Practice for Professional Integrity in the Conduct of Research each student must deposit all raw data and samples with his/her Supervisor Team prior to final presentation of the thesis. A statement confirming that the supervisor team is content that all appropriate materials have been deposited must be presented to Research Student Administration at the time of submission (RS16 Data and Sample Deposit form).

Graduation

The student, on submission of final bound copies of the thesis and all relevant forms, will be eligible for Graduation, provided they are not recorded on the University's system as a 'debtor'. The student will be contacted by Registry regarding attendance at graduation and ticket allocation electronically **via their University email account** and it is therefore imperative that, following submission, the student continues to check this account. Final copies of theses must be lodged with Research Student Administration at least five weeks before the graduation ceremony on a date to be specified annually to allow Senate Conferment of the degree.

Research Student Administration will remind students who may be eligible to graduate, and their supervisors, of the appropriate dates and requirements and will forward a list of those eligible to Registry.

The Research Graduate School and the Chair of the supervisor team should keep these requirements in mind when making the examination arrangements for the student.

Procedures: Section 2 - Making Changes

Change of Address

The student may need to change their address details with the University and this should be done through Registry. The student should also notify the Research Graduate School and Research Student Administration. It is the responsibility of the student to notify the University of changes in their details.

Transfer of Mode of Study (Form RS5a)

The student may wish, at some point during the course of study, to change his/her mode of attendance from full-time to part-time or vice-versa. The student should complete the appropriate sections of Form RS5a and pass it to his/her supervisor team. If the student is in receipt of a scholarship, the consequences of transfer to part-time study should be discussed in full with Research Student Administration prior to any decision being made.

The Chair of the supervisor team should complete the appropriate sections of the form and should arrange, through the RGS, if appropriate, for the form to be considered and approved by the Head of School/Research Institute Director and Head of RGS/Dean.

The Faculty/RGS should then return the form to the appropriate Research Student Administration office. Research Student Administration will communicate the decision to the student, supervisor team and Faculty.

Change of Supervisory Arrangements (Forms RS6)

The student may, under certain exceptional circumstances, seek to change the approved arrangements for his/her supervision. This should be requested using Form RS6 which should be completed in consultation with the Head of RGS/Research Institute Director.

The Faculty/RGS should arrange for the application to be considered by the Dean/Head of RGS and returned to the appropriate Research Student Administration office, who will communicate the decision to the student, supervisor team and the Faculty.

Please note that in practice the request to change supervisory arrangements may come from the student, the supervisor team, the Head of School or as a result of Faculty or University policy.

Modification of Programme of Work (Form RS6a)

The student may require to make changes to his/her programme of work approved at the time of registration. Form RS6a should be used for this purpose. Any modification should be discussed fully with the supervisor team prior to completion of the form.

The supervisor team should be prepared to advise the student on changes that may be required and the implications these will have for the work completed and that which is still to be undertaken. They should discuss the completion of the form with the student, complete the appropriate sections and pass it to the Head of RGS for consideration. It should then be sent to the appropriate Research Student Administration office.

Research Student Administration will communicate the decision to the student and the supervisor.

Studying away from the University? (Form RS7)

The student, if requiring to spend a period of time studying away from the University, must complete Form RS7. This should be carried out in consultation with the supervisor team.

The supervisor team should complete the appropriate sections of the form indicating support or otherwise for the period away from campus and detailing any financial arrangements. The application should then be approved by the Head of School/Research Institute Director and the Head of RGS/Dean.

The Faculty/RGS should forward the completed application to Research Student Administration who will communicate the decision to the student, supervisor team and Faculty and the funding body where appropriate.

Leave of Absence (Form RS8)

The student may find that circumstances such as ill health, family considerations, pressures of regular employment (part-time students only) or other personal matters mean that taking a leave of absence of up to one year is the only practical solution (medical certificates may be required). The circumstances should be discussed, as far as possible, with the supervisor team or the RSG. Form RS8 should then be completed with the help of the supervisors. Note that absences for the purposes of taking up employment are not permitted.

The supervisors should be prepared to discuss the options with the student and to help decide on the appropriate length of the absence and the effect this will have on completion. The supervisor team must indicate whether or not they support the application for a leave of absence and then pass the form to the Head of RGS for consideration.

The Faculty/RGS should arrange for the signature of the Head of RGS/Dean and should return the form to Research Student Administration.

Research Student Administration will communicate the decision to the student, supervisor team and Faculty and the funding body where appropriate.

It should be noted that no application for leave will be approved in retrospect. In situations where the student, due to illness, is unable to request leave of absence in advance, notification of the start date and the nature of the illness should be received by the relevant Research Student Administration office within the first week of absence in order that the absence may be recorded. This may be communicated initially via the supervisor team or Head of RGS or directly by the student. The completed RS8 form together with medical evidence (Fitness for Work certificate) should then be submitted to Research Student Administration within two weeks of the first day of absence. Failure to do so will mean that the absence will not be approved and additional time to complete the research programme will not be granted. Absences for reasons other than illness must be formally requested using the approved process at least one month prior to the planned date.

Students who hold a Tier 4 visa for study in the UK should note that a leave of absence which extends the duration of their programme will result in the Home Office curtailing their leave to remain in the UK. In these situations, students must return to their home country and re-apply for a further Tier 4 visa once the period of leave of absence has elapsed.

Extensions of Time (Form RS9/RS9a and RS9b)

The student may realise that certain factors have caused delays in the progress of work and that it is not possible to complete the research or submit the thesis by the expected date. Under such circumstances the student may wish to apply for an extension of one or more months to the time allowed under the regulations. The relevant parts of Form RS9 should be completed following discussion with the supervisor team. Such requests to extend must be completed in advance of the submission deadline, as applications for extensions will not be approved in retrospect.

The student may apply initially for a four month period of extended registration. At this stage, the student's progress must be assessed by the Head of RGS prior to approving the extension to ensure that there is evidence that a properly prepared plan of work is in place. If approved, this extension will be authorised by the Faculty.

Following this period, a further period of extension of no more than three months may be applied for via the forms RS9a and RS9b (for exceptional circumstances which merit a fee waiver). At this stage, the student's progress must be assessed by the Head of RGS, and, if appropriate, the form should be signed off by the supervisor team, Head of RGS and then forwarded to Research Student Administration in order that it may be considered by the RDC. This request should be accompanied by a detailed summary of progress, a revised plan of work and medical or other evidence in support of the application.

Research Student Administration will arrange consideration of the application by the RDC and will communicate the decision to the student, supervisor team and Faculty and the funding body where appropriate.

NOTE: Although the University may approve a leave of absence or extension of time, it should not be assumed that funding bodies will do so automatically. Each funding body has a set of procedures which must be adhered to.

Review of Progress Against Submission Deadline (RS9c)

Where the student requires extensions of time to submit the thesis, the Faculty will monitor the new anticipated date of submission via the RS9c Review of Progress to ensure that appropriate progress is being made during the extension periods. The RGS will arrange a meeting with the student and the supervisor team to assess progress and will complete the RS9c to record and approve progress against the submission deadline.

Withdrawal (Form RS10)

The student, if in a situation where continued study is not possible, may consider withdrawing his/her registration. It is recommended that this option is discussed fully before any decision is made. If the decision is taken to withdraw, Form RS10 should be completed, giving, as far as possible, the reason for withdrawal. The completion of this form requires, in the first instance, the student to undertake an exit interview with the Head of RGS to ensure that all other options have been exhausted. Then, the Head of RGS will meet with the supervisor team to ensure that a full report on the reasons for withdrawal are recorded.

Given that withdrawals may not be permitted in retrospect, the last date of attendance will normally be the date of notification of withdrawal. Research Student Administration will communicate the decision to the student, Supervisor Team and Faculty and the funding body where appropriate.

Please note that withdrawal proceedings may be initiated by the student or by the Faculty in which the student is registered. Full-time students in receipt of funding should also be aware that there are likely to be financial implications if they choose to withdraw and should discuss their situation with Research Student Administration.

Appeals

A student whose studies have been discontinued, or who does not succeed in attaining the award for which he/she has registered and who does not accept the recommendation of the examiners may choose to appeal. This is known as A Request for a Review of the Decision of the Examiners and must be received by Research Student Administration within one month of the notification of the recommendation. Details of these procedures can be found in Appendices 11 and 12.

Research Student Administration will acknowledge receipt of the appeal, will take the necessary steps to ensure that a review panel is convened as appropriate and will keep the appellant informed of the appropriate dates and stages of the process.

Complaints

Copies of the Complaints Procedure are available from the Research and Registry Offices.

Appendix 1 Regulations for the Degree of Master of Philosophy (MPhil) and Associated Rules and Guidelines

1. The degree of Master of Philosophy

The degree of MPhil is awarded after successful completion of an approved programme of research and related studies and submission of a thesis to the satisfaction of the examiners.

2. Admission

- 2.1. Graduates holding a first or upper second class honours degree in a relevant subject of study from a university of the United Kingdom or the Republic of Ireland or from another university approved by the Senate or from the Council for National Academic Awards or applicants deemed by the Senate to hold equivalent qualifications are eligible for admission.
- 2.2. Applicants who do not meet the foregoing requirements may be admitted after successful completion of a preliminary examination in accordance with rules approved by the Senate.
- 2.3. Decisions relating to admission will be made by either the Board of the Faculty (for normal admissions) or by the Research Degrees Committee on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate. The programme of work to be undertaken shall be approved and a supervisor or supervisors appointed in accordance with the guidelines in advance of registration.
- 2.4. The programme of work approved for applicants shall be such that they shall be enabled to acquire competence in the methods of research and scholarship and to display originality and sustained independent effort.
- 2.5. An applicant who wishes to undertake a programme of work leading to the presentation of a thesis accompanied by material in other than written form shall seek the prior approval of the Board of the Faculty.

3. Registration and enrolment

- 3.1. An applicant for admission, if successful, shall be enrolled as a registered candidate for the degree of MPhil.
- 3.2. Initial enrolment shall take effect from the first day of the particular month in any year. Candidates shall enrol annually thereafter.
- 3.3. The University may refuse candidates permission to enrol if they are registered for another award of the University or with another academic or professional institution.
- 3.4. Once enrolled as a research student a candidate may not register for another award of the University or with another academic or professional institution without prior approval of the Senate.

4. Duration of programme of work

- 4.1. A candidate for the degree of MPhil shall normally be required to complete a period of full-time study lasting for two years or a period of part-time study lasting for four years, by the end of which time the thesis shall have been submitted subject to 4.2 below.
- 4.2. A reduction of the periods specified above or, in exceptional circumstances, an extension may be granted.

- 4.3. Where a candidate is registered as a full-time student and during the period of study wishes to change the registration to that of a part-time student, or vice versa, the remaining period of study shall be determined by the Senate.

5. Progress

- 5.1. Supervisors shall approve the plan of work of their candidates and shall monitor their progress. A candidate who wishes to modify the programme of work from that agreed at the time of admission shall seek the approval of the Board of the Faculty.
- 5.2. After a period of not more than four months following first enrolment, a full-time candidate for the degree of MPhil will undergo an initial assessment of progress which will include a review of training needs. For part-time candidates the initial assessment will take place after a period of not more than ten months.
- 5.3. At the time of the initial assessment all candidates and supervisors will consider the need for ethical approval and make a formal application if necessary. Where an application for ethical approval is not deemed necessary at the stage of initial assessment, a review of the project shall be completed on a regular basis, with a view to making an application if necessary.
- 5.4. After a period of not less than ten months and not more than twelve months from initial enrolment, a full-time candidate for the degree of MPhil will undergo a further formal assessment of progress. For part-time candidates the assessment will take place after a period of not more than twenty-four months of enrolment.
- 5.5. After a period of not more than twenty months following first enrolment a full-time candidate for the degree of MPhil will undergo a final assessment of progress. For part-time candidates this assessment will take place after a period of not more than thirty-six months. The arrangements for and format of this assessment will be at the discretion of individual faculties.
- 5.6. Candidates and supervisors shall submit separate progress reports on or before 1 May each year. These reports will be considered by the Board of the Faculty where decisions on each candidate's progression to the next year of study will be made.
- 5.7. A candidate whose programme of work and progress are deemed to be of the appropriate standard may apply to enrol as a registered candidate for the degree of PhD.
- 5.8. A candidate who fails to submit an annual progress report by the date specified, or whose progress is deemed to be unsatisfactory, will be required to discontinue his/her studies.
- 5.9. The Board of the Faculty may grant a candidate leave of absence for a specified period.

6. Attendance and study away from the University

- 6.1. It is expected that a full-time candidate for the degree of MPhil will be in attendance at the University on a daily basis except by mutual agreement with his or her supervisor and Head of Research Graduate School.
- 6.2. A candidate may be permitted to carry out part of his/her study away from the University provided that the arrangements are acceptable to his/her supervisor or supervisors. A period of absence of more than three months, except where the work is being carried out in an approved collaborating establishment, shall require the prior approval of the Board of the Faculty.

7. Submission of thesis

- 7.1. A candidate shall give Research Student Administration three months' notice in writing of submission of the thesis and shall at the same time provide the exact title of the thesis.

- 7.2. A candidate for the degree of MPhil shall, normally during the three months preceding the end of the period of study, submit a thesis embodying the results of his/her work.
- 7.3. The thesis must deal with the field of research originally approved or such other field of research as may have been subsequently approved.
- 7.4. Theses shall normally be presented in English but a candidate in one of the language subjects of the University may seek permission from the Board of the Faculty to present his/her thesis written in the language of that subject.
- 7.5. Theses, and supporting material if applicable, shall be presented in accordance with rules approved by the Senate. These rules may be found in the Notes of Guidance for the Presentation of Theses for Research Degrees.

8. Appointment of examiners

- 8.1. The RDC under delegated authority from the Senate shall appoint one or more internal examiners and nominate, for approval by Council, one or more external examiners except as provided for in Sections 8.5 and 9.5.
- 8.2. The candidate's supervisor shall not be appointed as an examiner.
- 8.3. One supervisor may attend the oral examination at the consent of the candidate who shall select a named supervisor of his/her choice from the supervisory team; the supervisor shall not contribute to discussions at the oral examination unless specifically asked to do so by the Chairman; and the candidate shall not ask the supervisor to speak; and neither the candidate nor the named supervisor shall be present when any discussions with regard to the decision to award the degree, or otherwise, are taking place.
- 8.4. Where a candidate is not a member of staff of the University, there shall be one internal and one external examiner, except in exceptional circumstances and subject to the case being approved by the Research Degrees Committee.
- 8.5. Where the candidate has been a full time member of staff of the University for a period exceeding two years the Senate may appoint one internal examiner and shall nominate, for approval by Council, two external examiners.
- 8.6. An external examiner must not be a member of a collaborating institution and must not have acted previously as one of the candidate's supervisors.
- 8.7. The examiners shall adjudicate on the thesis and, save in exceptional circumstances, shall examine the candidate orally on his/her programme of work and on the field of study in which the performance lies.
- 8.8. Where an oral examination is to be held the Senate shall appoint a senior member of academic staff to act as Chairman of the Board of Examiners. The Chairman shall not be an examiner.

9. Examination

- 9.1. Candidates for the degree of MPhil are required to have undertaken successfully an investigation and evaluation or a critical study of their approved topic, to have presented a satisfactory thesis and to have demonstrated their understanding of the context and significance of the work.
- 9.2. Following receipt of the thesis the examiners shall present independent written reports to Research Student Administration prior to the oral examination. These reports shall not be made available to the other examiner(s) until all reports have been received by Research Student Administration; they shall not be available to the candidate or the supervisor.

- 9.3. The examiners may, exceptionally, recommend to the Senate in their reports that the requirement to hold an oral examination should be waived; where no oral examination is to be held the Board of Examiners shall meet to agree its joint report and recommendation in accordance with 9.4 and 9.6.
- 9.4. Following the adjudication of the thesis and the oral examination, the members of the Board of Examiners shall, where they are in agreement, present a joint report and recommendation for the award or otherwise of the degree. Where the examiners are not in agreement separate reports and recommendations shall be made.
- 9.5. Where the recommendation of the Board of Examiners is not unanimous, the Senate may:
 - a) accept the recommendation of the external examiner(s), or
 - b) require the appointment of a new Board of Examiners and convene a further oral examination.
- 9.6. For a submission for the degree of MPhil the report of the Board of Examiners shall recommend:-
 - a) that the degree should be awarded, or
 - b) that the degree should be awarded subject to minor corrections to the thesis being made, or to clarifications and/or enhancements being completed, to the satisfaction of the internal examiner within three months of the oral examination in accordance with the definition of 'minor corrections' as detailed in the Handbook for Examiners, or
 - c) that the degree should be awarded subject to corrections to the thesis being made to the satisfaction of the internal examiner within six months of the oral examination in accordance with the definition of 'corrections' as detailed in the Handbook for Examiners, or
 - d) that the candidate should revise and resubmit the thesis for the degree of MPhil, or
 - e) that exceptionally, and on the basis of a unanimous decision by the examiners, the degree of PhD be awarded, or a resubmission for the degree of PhD be permitted subject to minor corrections.
 - f) that the degree should not be awarded and no resubmission permitted.
- 9.7. One resubmission may be permitted, subject to the following:
 - a) A candidate shall submit for re-examination within the period of one year from the date on which permission for re-examination was granted;
 - b) The examiners shall give the candidate guidance on the deficiencies of the first submission;
 - c) The appointment of an additional external examiner may be required for the re-examination;
 - d) The examiners may exempt the candidate from repeating any part of the original examination which was deemed to be satisfactory.
- 9.8. Where the examiners' recommendation is that the degree should not be awarded and no further submission should be accepted an indication of the deficiencies of the work shall be given.

10. Review of decision on progress

A candidate whose studies have been discontinued under section 5, or who is deemed under section 9 not to be eligible for the award of a degree, may ask for his/her case to be reviewed. Provided that the candidate lodges a request in writing to Research Student Administration within one month of the approval of the recommendation of the Board of the Faculty or of the Board of Examiners in accordance with procedures laid down by Senate, the case shall be reviewed and the initial decision confirmed or amended.

11. Remunerative employment

A full-time candidate for a degree of MPhil shall not undertake or continue any remunerative employment unless:

- a) The work consists of demonstrating within the University or teaching or other forms of work directly related to the candidate's programme of work; and
- b) the total demand on the candidate's time, including preparation and travelling, does not exceed six hours a week unless he/she has obtained the prior approval of the Senate.

12. Members of staff of the University

Members of the full-time staff of the University may undertake postgraduate study leading to a degree of MPhil on a part-time basis only.

13. Intellectual Property

As a precondition of registration for the degree of Master of Philosophy (MPhil) all students will be required, prior to or at the time of enrolment, to sign agreements which will, or will oblige them in the future to assign to the University their rights in any intellectual property (IP) arising from their studies. Where research by a student registered for an MPhil results in an invention and/or creative work, whether by the student working on his/her own or as a member of a team, exploitation of the invention and/or creative work shall be subject to the University's Intellectual Property Policy and Procedures, which provides, amongst other things, incentive and reward schemes should the IP be successfully exploited. If the University does not wish to exploit the IP, provisions are available for the re-assignment of such IP back to the student by the end of his/her studies, subject to any obligations of confidentiality assumed by the University and/or the student in relation to the IP.

The copyright of the student's thesis will be held by the University, but will, subject to the University's Intellectual Property Policy and Procedures, be returned to the student at the end of his/her studies. Should the copyright in the thesis relate to any IP which has been disclosed to Research and Impact by the student and/or his supervisor during or at the end of the study, and should the University wish to exploit such IP, a Student Declaration of Confidentiality may be applied to the thesis for a prescribed period to provide sufficient time for the implementation of appropriate intellectual property protection measures. The student will at all times retain copyright as an author in any papers written in relation to his/her thesis for publication purposes. This is subject to the student at all times complying with his/her obligation not to submit any such papers for publication which may contain potentially exploitable IP without the prior approval of Research and Impact.

The University reserves the right to retain a copy of the thesis, in written or digital format, in the University Library. The University reserves the right to be granted a non-exclusive royalty-free perpetual licence by the student for use of his/her thesis for non-profit academic purposes such as teaching, research and general internal use if deemed appropriate, subject always to the University's obligation to respect the moral rights of the student in relation to such copyright material.

14. Plagiarism

It is a requirement that all assessment material, including the final thesis, be presented as one electronic file in order to facilitate the use by examiners of software designed to detect plagiarism. For this

purpose, students should use industry standard software in the production of theses and should submit an electronic file on easily readable material, preferably CD.

15. Deposit of raw data and samples

In accordance with the requirements of the University Code of Practice for Professional Integrity in the Conduct of Research each student must deposit all raw data and samples with his/her supervisor prior to final presentation of the thesis. A statement confirming that the supervisor is content that all appropriate materials have been deposited must be presented to Research Student Administration at the time of submission.

Rules for Preliminary Examination for Admission to Research Studies

1. Applicants who are not eligible for direct admission to research studies may be permitted to take a preliminary examination in the subject of the proposed research. The preliminary examination may be preceded by a preliminary course lasting for one year of full-time study or two years of part-time study.
2. The preliminary examination is a university examination of honours level and an upper second class honours degree standard in the preliminary examination is deemed to be equivalent to the minimum standard required for direct admission as a research student. A candidate is not entitled to sit the preliminary examination on more than one occasion.

Appointment of Supervisors

1. The student shall be supervised by two or more supervisors working as a team and shall be appointed by the Senate on the recommendation of the Faculty. This Supervisory Team shall include a chair, who in addition to providing a supervisory role in relation to the student's research shall deal with all administrative matters relating to the degree programme, take responsibility for all formal reporting and set-up the oral examination.
2. The Team shall also include at least one supervisor who has successfully supervised to completion at doctoral level and at least one supervisor who is a current Research Institute member or who has a track record of achievement in research consistent with inclusion in the REF.
3. Other team members can include academic and research staff with specialist knowledge in the research area or who have extensive experience in research supervision. All team members shall have the ability to demonstrate expertise in the project area.
4. All team members shall hold a doctoral level qualification or in exceptional circumstances, the Team can include one member who is able to demonstrate considerable equivalent experience. Supervisors who have not supervised to successful completion shall receive training in supervision prior to appointment or as soon as possible thereafter.
5. The Supervisory Team shall normally comprise two or three supervisors only.
6. Where collaboration has been arranged with another establishment, this establishment will normally appoint an additional supervisor.
7. A person who is registered for a research degree shall not normally be permitted to take on duties as a supervisor for a research student.
8. Should it be necessary, either on academic or other grounds, for a supervisor to be changed, approval of the Senate must be sought.
9. Where a supervisor cannot be appointed in accordance with the requirements of this section the Senate may make special arrangements for supervision.

10. Where the research work of a candidate is to be conducted away from the University and at the premises of another organisation, the appointment of an external supervisor in accordance with the appropriate guidelines may be considered. Where a candidate is a part-time student based outside the United Kingdom or Ireland, the appointment of an external supervisor in accordance with the Framework for Distance Research Study will be required other than in exceptional circumstances.

Rules for the Final Presentation of Theses following Examination

1. A thesis submitted for the degree of Master of Philosophy shall not exceed 60,000 words in length excluding appendices, footnotes, bibliographies and diagrams. This limit will be strictly enforced and only in exceptional circumstances will permission to exceed it be granted. Faculties may recommend lower lengths as standard within an academic discipline.
2. Two copies of each MPhil thesis must be lodged with Research Student Administration and shall become the property of the University. The copies of the theses shall be securely bound and a summary or abstract of the work not exceeding 300 words in length shall be bound with each copy. The abstract shall be in a form suitable for publishing in learned journals. The examiners will accept a thesis for adjudication prior to binding. No degree will be awarded, however, until the bound copies are received. The Senate shall approve guidelines for the typing and binding of theses and for the presentation of supporting material.
3. The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material and any assistance received.
4. Where a candidate's research programme is part of a collaborative group project the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
5. Any part of the work which has been previously submitted for any other degree must be clearly indicated in the thesis.
6. Where permission has been granted to a candidate to present a thesis in a language other than English, an appropriate digest of the thesis written in English must also be submitted and be suitably bound for library use. This digest should consist of a summary of the introductory material, followed by a brief account of the contents of each chapter, and finally a statement of the general conclusions.
7. The copyright of the thesis will be held by the University but will be returned to the candidate following implementation of appropriate intellectual property protection measures.
8. A candidate or collaborating establishment may apply for the thesis to remain confidential for a period of time after completion of the work. The period approved shall not normally exceed two years. This regulation shall not apply to the abstract.

Sept 2015

Appendix 2 Regulations for the Degree of Doctor of Philosophy (PhD) and Associated Rules and Guidelines

1. The degree of Doctor of Philosophy

The degree of PhD is awarded after successful completion of an approved programme of research and related studies and submission of a thesis to the satisfaction of the examiners.

2. Admission

- 2.1. Graduates holding a first or upper second class honours degree in a relevant subject of study from a university of the United Kingdom or the Republic of Ireland or from another university approved by the Senate or from the Council for National Academic Awards or applicants deemed by the Senate to hold equivalent qualifications are eligible for admission.
- 2.2. Applicants who do not meet the foregoing requirements may be admitted after successful completion of a preliminary examination in accordance with rules approved by the Senate.
- 2.3. Decisions relating to admission will be made by either the Board of the Faculty (for normal admissions) or by the Research Degrees Committee on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate. The programme of work to be undertaken shall be approved and a supervisor or supervisors appointed in accordance with the guidelines in advance of registration.
- 2.4. The programme of work approved for applicants shall be such that they shall be enabled to acquire competence in the methods of research and scholarship and to display originality and sustained independent effort.
- 2.5. An applicant who wishes to undertake a programme of work leading to the presentation of a thesis accompanied by material in other than written form shall seek the prior approval of the Senate.

3. Registration and enrolment

- 3.1. An applicant for admission, if successful, shall be enrolled as a registered candidate for the degree of PhD.
- 3.2. Initial enrolment shall take effect from the first day of the particular month in any year. Candidates shall enrol annually thereafter.
- 3.3. The University may refuse candidates permission to enrol if they are registered for another award of the University or with another academic or professional institution.
- 3.4. Once enrolled as a research student a candidate may not register for another award of the University or with another academic or professional institution without prior approval of the Senate.

4. Duration of Programme of work

- 4.1. A candidate for the degree of PhD shall normally be required to complete a period of full-time study lasting for three years or a period of part-time study lasting for six years, by the end of which time the thesis shall have been submitted subject to 4.2 below.
- 4.2. In exceptional circumstances, a reduction of the periods specified above that does not fall short of the minimum stipulated in 4.3 below, or an extension may be granted.
- 4.3. The minimum period of registration for a full-time candidate shall be two and a half years and the minimum period of registration for a part-time candidate shall be 4 years. The thesis

shall contain only research that has been conducted during the candidate's period of registration at Ulster unless prior approval of the Senate has been obtained.

- 4.4. A candidate for the degree of PhD who is accepted onto a programme with external funding and whose project requires an internship or a period of study at another institution may, subject to RDC approval, have the duration of the programme extended by the period of the internship up to a maximum four years' registration.

5. Progress

- 5.1. Supervisors shall approve the plan of work of their candidates and shall monitor their progress. A candidate who wishes to modify the programme of work from that agreed at the time of admission shall seek the approval of the Board of the Faculty.
- 5.2. After a period of not more than four months following first enrolment, a full-time candidate for the degree of PhD will undergo an initial assessment of progress which will include a review of training needs. For part-time candidates the initial assessment will take place after not more than ten months.
- 5.3. At the time of the initial assessment all candidates and supervisors will consider the need for ethical approval and make a formal application if necessary. Where an application for ethical approval is not deemed necessary at the stage of initial assessment, a review of the project shall be completed on a regular basis, with a view to making an application if necessary.
- 5.4. After a period of not more than thirty months following first enrolment, a full-time candidate for the degree of PhD will undergo a final assessment of progress. For part-time candidates this will take place after a period of not more than sixty months. The arrangements for and format of this assessment will be at the discretion of individual faculties.
- 5.5. Candidates and supervisors shall submit separate progress reports on or before 1 May each year. These reports will be considered by the Board of the Faculty where decisions on each candidate's progression to the next year of study will be made.
- 5.6. A candidate who fails to submit a progress report, or whose progress is deemed unsatisfactory, may be required to discontinue his/her studies.
- 5.7. The Board of the Faculty may grant a candidate leave of absence for a specified period.

6. Confirmation of registration status

- 6.1. After a period of not less than ten months and, save in exceptional circumstances, not more than twelve months from initial enrolment full-time candidates shall apply to Senate for confirmation of their registration status. Part-time candidates shall apply not less than twelve months and, save in exceptional circumstances, not more than twenty-four months after initial enrolment. Candidates will be required to undergo an oral examination as part of the procedure for confirmation of registration as a candidate for the degree of PhD.
- 6.2. A candidate whose PhD registration is not confirmed may be invited to continue their studies as a candidate for the degree of MPhil and will be expected to submit their thesis as described in the Regulations for the degree of Master of Philosophy.
- 6.3. A candidate registered for the degree of PhD may apply to Senate for their registration to be changed to that for the degree of MPhil.

7. Attendance and study away from the University

- 7.1. It is expected that a full-time candidate for the degree of PhD will be in attendance at the University on a daily basis except by mutual agreement with his or her supervisor and Head of Research Graduate School.
- 7.2. A candidate may be permitted to carry out part of his/her study away from the University provided that the arrangements are acceptable to his/her supervisor or supervisors. A period of absence of more than three months, except where the work is being carried out in an approved collaborating establishment, shall require the prior approval of the Board of the Faculty.

8. Submission of thesis

- 8.1. A candidate shall give Research Student Administration three months' notice in writing of submission of the thesis and shall at the same time provide the exact title of the thesis.
- 8.2. A candidate for the degree of PhD shall, normally during the three months preceding the end of the period of study, submit a thesis embodying the results of his/her work. The thesis must deal with the field of research originally approved or such other field of research as may have been subsequently approved.
- 8.3. Theses shall normally be presented in English but a candidate in one of the language subjects of the University may seek permission from the Board of the Faculty to present his/her thesis written in the language of that subject.
- 8.4. Theses, and supporting material if applicable, shall be presented in accordance with rules approved by the Senate. These rules may be found in the Notes of Guidance for the Presentation of Theses for Research Degrees.

9. Appointment of examiners

- 9.1. The RDC under delegated authority from the Senate shall appoint one or more internal examiners and nominate, for approval by Council, one or more external examiners except as provided for in Sections 9.5 and 10.5.
- 9.2. The candidate's supervisor shall not be appointed as an examiner.
- 9.3. One supervisor may attend the oral examination at the consent of the candidate who shall select a named supervisor of his/her choice from the supervisory team; the supervisor shall not contribute to discussions at the oral examination unless specifically asked to do so by the Chairman; and the candidate shall not ask the supervisor to speak; and neither the candidate nor the named supervisor shall be present when any discussions with regard to the decision to award the degree, or otherwise, are taking place.
- 9.4. Where a candidate is not a member of staff of the University, there shall be one internal and one external examiner, except in exceptional circumstances and subject to the case being approved by the Research Degrees Committee.
- 9.5. Where the candidate has been a full time member of staff of the University for a period exceeding two years the Senate may appoint one internal examiner and shall nominate, for approval by Council, two external examiners.
- 9.6. An external examiner must not be a member of a collaborating institution and must not have acted previously as one of the candidate's supervisors.
- 9.7. The examiners shall adjudicate on the thesis and, save in exceptional circumstances, shall examine the candidate orally on his/her programme of work and on the field of study in which the performance lies.

- 9.8. Where an oral examination is to be held the Senate shall appoint a senior member of academic staff to act as Chairman of the Board of Examiners. The Chairman shall not be an examiner.

10. Examination

- 10.1. Candidates for the degree of PhD are required to have undertaken successfully an investigation and evaluation or a critical study of their approved topic, to have presented a satisfactory thesis and to have demonstrated their understanding of the context and significance of the work. It is a requirement that the programme of work shall result in a significant contribution to knowledge.
- 10.2. Following receipt of the thesis the examiners shall present independent written reports to Research Student Administration prior to the oral examination. These reports shall not be made available to the other examiner(s) until all reports have been received by Research Student Administration; they shall not be available to the candidate or the supervisor.
- 10.3. The examiners may, exceptionally, recommend to the Senate in their reports that the requirement to hold an oral examination should be waived; where no oral examination is to be held the Board of Examiners shall meet to agree its joint report and recommendation in accordance with 10.4 and 10.6.
- 10.4. Following the adjudication of the thesis and the oral examination, the members of the Board of Examiners shall, where they are in agreement, present a joint report and recommendation for the award or otherwise of the degree. Where the examiners are not in agreement separate reports and recommendations shall be made.
- 10.5. Where the recommendation of the Board of Examiners is not unanimous, the Senate may:
- a) accept the recommendation of the external examiner(s), or
 - b) require the appointment of a new Board of Examiners and convene a further oral examination.
- 10.6. For a submission for the degree of PhD the report of the Board of Examiners shall recommend:
- a) that the degree should be awarded, or
 - b) that the degree should be awarded subject to minor corrections to the thesis being made, or to clarifications and/or enhancements being completed, to the satisfaction of the internal examiner within three months of the oral examination in accordance with the definition of 'minor corrections' as detailed in the Handbook for Examiners, or
 - c) that the degree should be awarded subject to corrections to the thesis being made to the satisfaction of the internal examiner within six months of the oral examination in accordance with the definition of 'corrections' as detailed in the Handbook for Examiners, or
 - d) that the candidate should revise and resubmit the thesis for the degree of PhD, or
 - e) that the candidate should revise and resubmit the thesis for the degree of MPhil, or
 - f) that the candidate should be awarded the degree of MPhil subject to the presentation of an amended thesis in accordance with the provisions for the presentation of a thesis for the degree of MPhil.
 - g) that the degree should not be awarded and no resubmission permitted.

10.7. One resubmission may be permitted, subject to the following:

- a) a candidate shall submit for re-examination within the period of one year from the date on which permission for re-examination was granted;
- b) the examiners shall give the candidate guidance on the deficiencies of the first submission;
- c) the appointment of an additional external examiner may be required for the re-examination;
- d) the examiners may exempt the candidate from repeating any part of the original examination which was deemed to be satisfactory.

10.8. If a candidate for the degree of PhD fails to satisfy the examiners and is allowed a resubmission, the candidate may apply for examination for the degree of MPhil, as an alternative to re-examination for the degree of PhD.

10.9 In any event, where the examiners' recommendation is that the degree for which the candidate has submitted should not be awarded a comprehensive list of the deficiencies of the submission shall be provided.

11. Review of decision on progress

A candidate whose studies have been discontinued under section 6, or who is deemed under section 10 not to be eligible for the award of a degree, may ask for his/her case to be reviewed. Provided that the candidate lodges a request in writing to the Head of Research Student Administration within one month of the approval of the recommendation of the Board of the Faculty or of the Board of Examiners in accordance with procedures laid down by Senate, the case shall be reviewed and the initial decision confirmed or amended.

12. Remunerative employment

A full-time candidate for a degree of PhD shall not undertake or continue any remunerative employment unless:

- a) the work consists of demonstrating within the University or teaching or other forms of work directly related to the candidate's programme of work, and
- b) the total demand on the candidate's time, including preparation and travelling, does not exceed six hours a week unless he/she has obtained the prior approval of the Senate.

13. Members of staff of the University

Members of the full-time staff of the University may undertake postgraduate study leading to a degree of PhD on a part-time basis only.

14. Intellectual Property

As a precondition of registration for the degree of Doctor of Philosophy (PhD) all students will be required, prior to or at the time of enrolment, to sign agreements which will, or will oblige them in the future to assign to the University their rights in any intellectual property (IP) arising from their studies. Where research by a student registered for a PhD results in an invention and/or creative work, whether by the student working on his/her own or as a member of a team, exploitation of the invention and/or creative work shall be subject to the University's Intellectual Property Policy and Procedures, which provides, amongst other things, incentive and reward schemes should the IP be successfully exploited. If the University does not wish to exploit the IP, provisions are available for the re-assignment of such IP back to the student by the end of his/her studies, subject to any obligations of confidentiality assumed by the University and/or the student in relation to the IP.

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2. The preliminary examination is a university examination of honours level and an upper second class honours degree standard in the preliminary examination is deemed to be equivalent to the minimum standard required for direct admission as a research student. A candidate is not entitled to sit the preliminary examination on more than one occasion.

Appointment of Supervisors

1. The student shall be supervised by two or more supervisors working as a team and shall be appointed by the Senate on the recommendation of the Faculty. This Supervisory Team shall include a chair, who in addition to providing a supervisory role in relation to the student's research shall deal with all administrative matters relating to the degree programme, take responsibility for all formal reporting and set-up the oral examination.
2. The Team shall also include at least one supervisor who has successfully supervised to completion at doctoral level and at least one supervisor who is a current Research Institute member or who has a track record of achievement in research consistent with inclusion in the REF.

3. Other team members can include academic and research staff with specialist knowledge in the research area or who have extensive experience in research supervision. All team members shall have the ability to demonstrate expertise in the project area.
4. All team members shall hold a doctoral level qualification or in exceptional circumstances, the Team can include one member who is able to demonstrate considerable equivalent experience. Supervisors who have not supervised to successful completion shall receive training in supervision prior to appointment or as soon as possible thereafter.
5. The Supervisory Team shall normally comprise two or three supervisors only.
6. Where collaboration has been arranged with another establishment, this establishment will normally appoint an additional supervisor.
7. A person who is registered for a research degree shall not normally be permitted to take on duties as a supervisor for a research student.
8. Should it be necessary, either on academic or other grounds, for a supervisor to be changed, approval of the Senate must be sought.
9. Where a supervisor cannot be appointed in accordance with the requirements of this section the Senate may make special arrangements for supervision.
10. Where the research work of a candidate is to be conducted away from the University and at the premises of another organisation, the appointment of an external supervisor in accordance with the appropriate guidelines may be considered. Where a candidate is a part-time student based outside the United Kingdom or Ireland, the appointment of an external supervisor in accordance with the Framework for Distance Research Study will be required other than in exceptional circumstances.

Rules for the Final Presentation of Theses following Examination

1. A thesis submitted for the degree of PhD shall not exceed 100,000 words in length, excluding appendices, footnotes, bibliographies and diagrams. These limits shall be strictly enforced and only in exceptional circumstances will permission to exceed them be granted. Faculties may recommend lower lengths as standard within an academic discipline.
2. Two copies of each complete PhD thesis, together with an electronic copy in PDF format on an easily read medium e.g. CD, must be lodged with Research Student Administration and shall become the property of the University. The printed copies of the thesis shall be securely bound and a summary or abstract of the work not exceeding 300 words in length shall be bound with each copy. The abstract shall be in a form suitable for publishing in learned journals. One additional copy of the abstract and title page(s) shall be provided by the candidate to be forwarded to EThOS. The examiners will accept a thesis for adjudication prior to binding. No degree will be awarded, however, until the bound copies are received. The Senate shall approve guidelines for the typing and binding of theses and for the presentation of supporting material.
3. The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material and any assistance received.
4. Where a candidate's research programme is part of a collaborative group project the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
5. Any part of the work which has been previously submitted for any other degree must be clearly indicated in the thesis.
6. Where permission has been granted to a candidate to present a thesis in a language other than English, an appropriate digest of the thesis written in English must also be submitted and be suitably bound for library use. This digest should consist of a summary of the introductory material,

followed by a brief account of the contents of each chapter, and finally a statement of the general conclusions.

7. The copyright of the thesis will be held by the University but will be returned to the candidate following implementation of appropriate intellectual property protection measures.
8. A candidate or collaborating establishment may apply for the thesis to remain confidential for a period of time after completion of the work. The period approved shall not normally exceed two years. This regulation shall not apply to the abstract.
9. It is a requirement that the theses be presented in electronic format so they can be stored and made available, by the library, through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement. For this purpose, students should use industry standard software in the production of the thesis and submit the final digital copy in PDF format and as a single file where possible.

Guidelines for PhD submissions involving practice

1. Application

An applicant shall clarify in his/her proposal that the research will include a practical component. This must be addressed at interview, and the potential form of practice outcomes clarified at the Initial Assessment of Progress. Any amendments to the nature or extent of the practical component shall be approved by the Faculty.

2. Scope

- 2.1. The written documentation for PhDs that include a practical component must, in all cases, cover the following;
 - a) a substantive critical review of the appropriate literature and relevant practice;
 - b) a critical methodology appropriate to the subject;
 - c) a comprehensive description and discussion of the research findings; which includes a contextualising explanation of the practical component;
 - d) a critical evaluation of the findings in the light of the literature and methodology.
- 2.2. For a PhD research programme that includes a practical component, and in line with the following principles, the supervisor and the candidate will devise a programme of research and outputs that will be approved at the Initial Assessment of Progress and confirmed at Confirmation of Registration.
 - a) The work must be undertaken as part of a registered research programme.
 - b) The practical component must be set in its relevant theoretical, historical, critical and, where appropriate, visual context.
 - c) The practical component must be accompanied by a written text.
 - d) The length of the accompanying text will be negotiated between the student and the supervisor at the beginning of the project and reviewed at the Initial Assessment of Progress; it will be at least 20,000 words long and not exceed 100,000 words.
 - e) Individual faculties may set individual limits within the above range.
 - f) The work must constitute an independent and original contribution to knowledge.
 - g) The submission must demonstrate an understanding of appropriate research methods.
 - h) The written documentation and the practical component will together form 100% of the examined submission both are of importance in pursuing the research question.
 - i) Where the planned programme of work changes substantially, it must be approved by the Faculty.

3. Submission

- 3.1. The PhD submission shall be a substantial piece of work in which the candidate is required to demonstrate thorough knowledge and critical appreciation of the subject. It will make a distinct and original contribution to knowledge, as appropriate to the field.
- 3.2. A PhD submission may consist of a practice element, supported by appropriate documentation, and a written thesis indicating the project's originality and contribution to the discipline or interdisciplinary field.
- 3.3. All submissions that include a practical component must provide a permanent record, of the practical component, stored in a way that makes it accessible and retrievable (e.g. in the form of photographs, scores, drawings, CD-ROM, DVD or other recorded material).
- 3.4. The submission, including both the written and practical component, must have been completed during the student's period of registration with the University.

4. Examination

- 4.1. The examination arrangements will be substantially the same as for a PhD submitted by thesis.
- 4.2. Arrangements for the practical component to be considered by the Board of Examiners (if not presented by means of documentation only) shall be notified via the Application for Approval of Examination Arrangements.
- 4.3. The practical component must be accessible to the Board of Examiners prior to the viva voce and where possible not just as documentation.
- 4.4. The Application for Approval of Examination Arrangements must provide details on how, where and when the Board of Examiners will have access to the practical component. Supervisors, Research Graduate Schools and Research Student Administration will endeavour to enable such arrangements.
- 4.5. If, however, access proves impossible or would delay examination beyond three months after submission, the viva voce will take place in a timely manner and the candidate will be given the opportunity to verbally present and discuss the practical component submitted.

To enable faculties and the Research Degrees Committee to administer the Regulations for the Degrees of MPhil and PhD a number of forms have been prepared. These forms, which may be obtained from Research Student Administration at Coleraine or Jordanstown, are listed below. The description in each case indicates the purpose for which the form is to be used.

Form	
RS2	Recommendation for Admission to Research Studies (to be completed by the Head of School)
RS2b	Rejection of an application for admission (to be completed by the Head of the School)
RS2c	Consideration of applicant who does not meet the normal entrance requirements (to be completed by the Head of the Research Graduate School)
RS3a	Initial Assessment of Progress (to be completed by student and supervisor)
RS3	Postgraduate Research Student Annual Report (to be completed by student)
RS4	Postgraduate Research Student Annual Report (to be completed by Supervisor)
RS5	Application for Confirmation of Registration Status (to be completed by student and supervisor)
RS5A	Application for Transfer of Mode of Study (to be completed by the student and supervisor)
RS6	Application for Change in Approved Arrangements for Supervision (to be completed by Head of School)
RS6A	Application for Modification of Programme of Work (to be completed by student and supervisor)
RS7	Application for Period of Study away from the University (to be completed by student and supervisor)
RS8	Application for Leave of Absence (to be completed by student and supervisor)
RS9	Application for First Extension of Time (to be completed by student and supervisor)
RS9a	Application for Subsequent Extension of Time - RDC Approved (to be completed by student and supervisor)
RS9b	Application for Extension of Time - Extenuating Circumstances (to be completed by student and supervisor)
RS9c	Review of Progress Against Submission Deadline (to be completed by student and supervisor)
RS10	Notification of Withdrawal of Registration (to be completed by student and supervisor)
RS11	Notice of Intention to Submit (to be completed by student)
RS11B	Student Consent Form (to be completed by student)
RS12	Application for Approval of Examination Arrangements (to be completed by the Head of Research Graduate School)
RS13A	Preliminary recommendation of the Examiners on a candidate for the degree of MPhil
RS13B	Recommendation of the Examiners on a candidate for the degree of MPhil

Appendix 2 – Regulations for the Degree of PhD

RS14A	Preliminary recommendation of the Examiners on a candidate for doctoral degrees
RS14B	Recommendation of the Examiners on a candidate for doctoral degrees
RS15	Preliminary Report of the Supervisor(s) (to be completed by supervisor)
RS16	Data and sample deposit form (to be completed by student and supervisor)
RS17	Reassignment of Student Intellectual Property Rights

Appendix 3 Regulations for the Degree of Doctor of Philosophy by Published Work (PhD by Published Work) (And associated rules and guidelines)

1. The Degree of PhD by Published Work

The degree of PhD by published work is awarded in recognition of research which has made a significant and coherent contribution to knowledge and is of scholarly and academic content. The submission of a thesis which must satisfy the appointed examiners is also required.

2. Admission

- 2.1. The degree is open to candidates
 - i. who are members of staff of Ulster University; or
 - ii. who are members of staff of an institution or organisation which has a strong research base and who have collaborated in research with staff members of Ulster University.
- 2.2. Applicants for admission will be expected to demonstrate that they have been active in research for a period of at least five years within the last ten years at an organisation that has a recognised research function. Applicants must demonstrate that they have produced state of the art research output which is cohesive and of an academic quality and a volume which give a prima facie indication that a significant contribution to scholarship has been made.
- 2.3. Applications shall be based on completed research. For this purpose 'research' is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes scholarship; the invention and generation of ideas, images, performances and artefacts including design where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, and processes, including design and construction. It excludes routine testing and analysis of materials, components and processes. The dissemination of the results of the research shall have taken place in the form of books or of articles in academic journals of recognised standing or of conference papers, or, in the performing and creative arts, work which may be non-text based. In all cases documentary evidence relating to the research output must be available and for the purpose of these Regulations the work to be submitted shall be referred to as 'the published work'.
- 2.4. Research related to all published work submitted by the applicant in support of his/her admission to the degree of PhD by Published Work shall have been conducted during the applicant's period of employment at Ulster University and or through his/her direct collaboration with staff members at Ulster as indicated at 2.1 above. By exception, research conducted and published work produced prior to the applicant's employment or association with Ulster University may be included where the provenance of the research is established and currency agreed in accordance with 2.6 below
- 2.5. Applications for admission shall be accompanied by the following:
 - a) details of the published work which the applicant wishes to be considered;
 - b) a statement, of between 1,000 and 2,000 words, setting in context each item of published work and indicating how and in what respect these items have made a significant and coherent contribution to knowledge;
 - c) a statement indicating the extent to which the published work has been carried out by the candidate and a clear indication of any parts of the published work which have been carried out in collaboration or which have been submitted previously for any other

degree or qualification. Further, if the published work is the result of collaborative research, a statement must, where possible, be provided by the collaborating researcher(s) confirming the contribution made to the research by the candidate.

- 2.6. The Faculty shall convene a panel to consider the application including an assessment of the quality and quantity of the published work presented by the candidate. The Panel shall comprise the Director of the relevant Research Institute or nominee, the Head of Research Graduate School or nominee, and one or more subject specialists. This Panel shall make a rigorous assessment of the published work and specifically of the provenance and currency of the research conducted by the applicant together with a full assessment of the applicant's relationship to Ulster University. The Panel will provide a report of this assessment to inform a decision on admission. The volume of published work required in each instance is subject to individual faculty and or subject requirements
- 2.7. Decisions relating to admission will be made by either the Board of the Faculty (for normal admissions) or by the Research Degrees Committee on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate.
- 2.8. The programme of work to be undertaken shall be approved and a supervisor or supervisors appointed in accordance with the guidelines in advance of registration.

3. Registration and Enrolment

- 3.1. Initial enrolment shall take effect from the first day of the particular month in any year.
- 3.2. The University may refuse candidates permission to enrol if they are registered for another award of the University or with another academic or professional institution.
- 3.3. Once enrolled as a student a candidate may not register for another award of the University or with another academic or professional institution without prior approval of the Senate.

4. Duration of Programme

- 4.1. A candidate for the degree of PhD by published work shall normally be required to complete a minimum period of part-time study lasting for six months. Published work and a thesis shall be submitted for examination not later than twelve months from admission.
- 4.2. A reduction of the period specified above or, in exceptional circumstances, an extension may be granted.
- 4.3. The Senate may grant a candidate leave of absence for a specified period.

5. Submission of Thesis and Published Work

- 5.1. A candidate for the degree of PhD by published work shall, on completion of the required period of registration, submit the published work, or in the case of non-text output, documentary evidence relating to the published work, which the candidate wishes to be considered and a thesis of between 10,000 and 20,000 words in length (excluding appendices, footnotes, bibliographies and diagrams). The thesis must demonstrate that the published work makes a significant and coherent contribution to knowledge.
- 5.2. A candidate shall give Research Student Administration three months' notice in writing of submission of the thesis and published work, and shall at the same time provide the exact title of the thesis.
- 5.3. Theses, and supporting material if applicable, shall be presented in accordance with rules approved by the Senate.

6. Appointment of Examiners

- 6.1. The RDC under delegated authority from the Senate shall appoint one or more internal examiners and nominate, for approval by Council, one or more external examiners except as provided for in Section 7.5.
- 6.2. The candidate's supervisor shall not be appointed as an examiner.
- 6.3. One supervisor may attend the oral examination at the consent of the candidate who shall select a named supervisor of his/her choice from the supervisory team; the supervisor shall not contribute to discussions at the oral examination unless specifically asked to do so by the Chairman; and the candidate shall not ask the supervisor to speak; and neither the candidate nor the named supervisor shall be present when any discussions with regard to the decision to award the degree, or otherwise, are taking place.
- 6.4. An external examiner must not be a member of a collaborating institution and must not have acted previously as one of the candidate's supervisors.
- 6.5. The examiners shall adjudicate on the published work and the thesis and, save in exceptional circumstances, shall examine the candidate orally on the work submitted and on the field of study in which the research lies.
- 6.6. Where an oral examination is to be held the Senate shall appoint a senior member of academic staff to act as Chairman of the Board of Examiners. The Chairman shall not be an examiner.

7. Examination

- 7.1. Candidates for the degree of PhD by published work are required to have presented satisfactory published work and a thesis, and have demonstrated the significant and coherent contribution to knowledge made by the published work.
- 7.2. Following receipt of the published work and the thesis the examiners shall present independent written reports to Research Student Administration prior to the oral examination. These reports shall not be made available to the other examiner(s) until all reports have been received by Research Student Administration; they shall not be available to the candidate or the supervisor.
- 7.3. The examiners may, exceptionally, recommend to the Senate in their reports that the requirement for an oral examination should be waived; where no oral examination is to be held the Board of Examiners shall meet to agree its joint report and recommendation in accordance with 7.4 and 7.6.
- 7.4. Following the adjudication of the published work and the thesis the members of the Board of Examiners shall, where they are in agreement, present a joint report and recommendation for the award or otherwise of the degree. Where the examiners are not in agreement separate reports and recommendations shall be made.
- 7.5. Where the recommendation of the Board of Examiners is not unanimous, the Senate may:
 - a) accept the recommendation of the external examiner(s), **or**
 - b) require the appointment of a new Board of Examiners and convene a further oral examination.
- 7.6. For a submission for the degree of PhD by published work the report of the Board of Examiners shall recommend:
 - a) that the degree should be awarded, **or**

- b) that the degree should be awarded subject to minor corrections to the thesis being made, or to clarifications and/or enhancements being completed, to the satisfaction of the internal examiner within three months of the oral examination in accordance with the definition of 'minor corrections' as detailed in the Handbook for Examiners, **or**
- c) that the degree should be awarded subject to corrections to the thesis being made to the satisfaction of the internal examiner within six months of the oral examination in accordance with the definition of 'corrections' as detailed in the Handbook for Examiners, **or**
- d) that the candidate should be re-examined within twelve months, which may include the submission of a revised thesis and published work and an oral examination, **or**
- e) that the candidate should be permitted to re-apply as a candidate for the degree after a period of not less than five years.
- f) that the degree should not be awarded and no resubmission permitted.

7.7. Candidates may not apply for the degree of PhD by published work on more than two occasions.

Review of Decision

A candidate who is deemed under section 7 not to be eligible for the award of a degree may ask for his/her case to be reviewed. Provided that the candidate lodges a request in writing to the Head of Research Student Administration within one month of the approval of the recommendation of the Board of Examiners in accordance with procedures laid down by the Senate, the case shall be reviewed and the initial decision confirmed or amended.

8. Plagiarism

It is a requirement that all assessment material, including the final thesis, be presented as one electronic file in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses and should submit an electronic file on easily readable material, preferably CD.

Appointment of Supervisors

1. The student shall be supervised by two or more supervisors working as a team and shall be appointed by the Senate on the recommendation of the Faculty. This Supervisory Team shall include a chair, who in addition to providing a supervisory role in relation to the student's research shall deal with all administrative matters relating to the degree programme, take responsibility for all formal reporting and set-up the oral examination.
2. The Team shall also include at least one supervisor who has successfully supervised to completion at doctoral level and at least one supervisor who is a current Research Institute member or who has a track record of achievement in research consistent with inclusion in the REF.
3. Other team members can include academic and research staff with specialist knowledge in the research area or who have extensive experience in research supervision. All team members shall have the ability to demonstrate expertise in the project area.
4. All team members shall hold a doctoral level qualification or in exceptional circumstances, the Team can include one member who is able to demonstrate considerable equivalent experience. Supervisors who have not supervised to successful completion shall receive training in supervision prior to appointment or as soon as possible thereafter.
5. The Supervisory Team shall normally comprise two or three supervisors only.

6. Where collaboration has been arranged with another establishment, this establishment will normally appoint an additional supervisor.
7. A person who is registered for a research degree shall not normally be permitted to take on duties as a supervisor for a research student.
8. Should it be necessary, either on academic or other grounds, for a supervisor to be changed, approval of the Senate must be sought.
9. Where a supervisor cannot be appointed in accordance with the requirements of this section the Senate may make special arrangements for supervision.

Rules for the Final Presentation of Theses and Published Work following Examination

1. A thesis submitted for the degree of PhD by Published Work shall be between 10,000 and 20,000 words in length (excluding appendices, footnotes, bibliographies and diagrams). The thesis must demonstrate that the published work makes a significant and coherent contribution to knowledge. These limits shall be strictly enforced and only in exceptional circumstances shall permission be granted for presentation of theses outside these limits. The published work, or, in the case of non-text output documentary evidence relating to the published work must be securely bound with the thesis;
2. Two copies of each complete thesis, together with an electronic copy in PDF format on an easily read medium e.g. CD, must be lodged with Research Student Administration and shall become the property of the University.
3. The printed copies of the thesis shall be securely bound and a summary or abstract of the work not exceeding 300 words in length shall be bound with each copy. The abstract shall be in a form suitable for publishing in learned journals.
4. One additional copy of the abstract and title page(s) shall be provided by the candidate to be forwarded to EThOS.
5. The examiners shall accept a thesis for adjudication prior to binding. No degree shall be awarded, however, until the bound copies are received.
6. The Senate shall approve guidelines for the typing and binding of theses and for the presentation of supporting material.
7. The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material and any assistance received.
8. Where a candidate's research programme is part of a collaborative group project the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
9. Any part of the work which has been previously submitted for any other degree must be clearly indicated in the thesis.
10. Where permission has been granted to a candidate to present a thesis in a language other than English, an appropriate digest of the thesis written in English must also be submitted and be suitably bound for library use. This digest should consist of a summary of the introductory material, followed by a brief account of the contents of each chapter, and finally a statement of the general conclusions
11. The copyright of the thesis shall be held by the University but shall be returned to the candidate following implementation of appropriate intellectual property protection measures.
12. A candidate or collaborating establishment may apply for the thesis to remain confidential for a period of time after completion of the work. The period approved shall not normally exceed two

years. This regulation shall not apply to the abstract.

13. It is a requirement that the thesis be presented in electronic format to enable storage and be made available, by the library, through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement. For this purpose, students should use industry standard software in the production of the thesis and submit the final digital copy in PDF format and as a single file where possible.

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Appendix 4 Regulations for the Degree of Doctor of Medicine (MD) and Associated Rules and Guidelines

1. The degree of Doctor of Medicine

The degree of MD is awarded after successful completion of an approved programme of research and related studies and submission of a thesis to the satisfaction of the examiners.

2. Admission

- 2.1 Candidates who have held a medical qualification registerable with the General Medical Council for at least three years are eligible for admission.
- 2.2 Decisions relating to admission will be made by either the Board of the Faculty (for normal admissions) or by the Research Degrees Committee on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate. The programme of work to be undertaken shall be approved and a supervisor or supervisors appointed in accordance with the guidelines in advance of registration. An additional supervisor working in a clinical environment may be appointed where this is necessary for the conduct of the programme of work.
- 2.3 The programme of work approved for applicants shall be such that they shall be enabled to acquire competence in the methods of research and scholarship and to display originality and sustained independent effort.
- 2.4 An applicant who wishes to undertake a programme of work leading to the presentation of a thesis accompanied by material in other than written form shall seek the prior approval of the Senate.

3. Registration and enrolment

- 3.1 Initial enrolment shall take effect from the first day of the particular month in any year. Candidates shall enrol annually thereafter.
- 3.2 The University may refuse candidates permission to enrol if they are registered for another award of the University or with another academic or professional institution.
- 3.3 Once enrolled as a research student a candidate may not register for another award of the University or with another academic or professional institution without prior approval of the Senate.
- 3.4 Continued enrolment shall be subject to annual confirmation of satisfactory performance as assessed by a written report and an oral presentation to senior staff appointed by the Board of the Faculty.

4. Duration of programme of work

- 4.1 A candidate for the degree of MD shall normally be required to complete a period of full-time study not exceeding two years or a period of part-time study not exceeding five years, by the end of which time the thesis shall have been submitted, subject to 4.2 below.
- 4.2 A reduction of the periods specified above or, in exceptional circumstances, an extension may be granted.
- 4.3 Where a candidate is registered as a full-time student and during the period of study wishes to change the registration to that of a part-time student, or vice versa, the remaining period of study shall be determined by the Senate.

5. Progress

- 5.1 Supervisors shall approve the plan of work of their candidates and shall monitor their progress in line with the requirements of the faculty in which the student is registered. A candidate who wishes to modify the programme of work from that agreed at the time of admission shall seek the approval of the Board of the Faculty.
- 5.2 Within three months of initial registration all candidates and supervisors will consider the need for ethical approval and make a formal application if necessary. Where an application for ethical approval is not deemed necessary at this stage, a review of the project shall be completed on a regular basis, with a view to making an application if necessary.
- 5.3 Candidates and supervisors shall submit separate annual progress reports on or before 1 May each year. These reports will be considered by the Board of the Faculty where decisions on each candidate's progression to the next year will be made.
- 5.4 A candidate who fails to submit a progress report, or whose progress is deemed unsatisfactory, may be required to discontinue his/her studies.
- 5.5 The Board of the Faculty may grant a candidate leave of absence for a specified period.

6. Study away from the University

- 6.1 A candidate may be permitted to carry out part of his/her study away from the University provided that the arrangements are acceptable to his/her supervisor or supervisors. A period of absence of more than three months, except where the work is being carried out in an approved collaborating establishment, shall require the prior approval of the Board of the Faculty.

7. Submission of thesis

- 7.1 A candidate for the degree of MD shall, normally during the three months preceding the end of the period of study, submit a thesis embodying the results of his/her work. The thesis must deal with the field of research originally approved or such other field of research as may have been subsequently approved.
- 7.2 A candidate shall give Research Student Administration three months' notice in writing of submission of the thesis and shall at the same time provide the exact title of the thesis.
- 7.3 Theses, and supporting material if applicable, shall be presented in accordance with rules approved by the Senate. These rules may be found in the Notes of Guidance for the Presentation of Theses for Research Degrees.

8. Appointment of examiners

- 8.1 The RDC under delegated authority from the Senate shall appoint one or more internal examiners and nominate, for approval by Council, one or more external examiners except as provided for in Section 9.5.
- 8.2 The candidate's supervisor shall not be appointed as an examiner.
- 8.3 One supervisor may attend the oral examination at the consent of the candidate who shall select a named supervisor of his/her choice from the supervisory team; the supervisor shall not contribute to discussions at the oral examination unless specifically asked to do so by the Chairman; and the candidate shall not ask the supervisor to speak; and neither the candidate nor the named supervisor shall be present when any discussions with regard to the decision to award the degree, or otherwise, are taking place.

- 8.4 Where a candidate is not a member of staff of the University, there shall be one internal and one external examiner, except in exceptional circumstances and subject to the case being approved by the Research Degrees Committee.
- 8.5 Where the candidate has been a full time member of staff of the University for a period exceeding two years the Senate may appoint one internal examiner and shall nominate, for approval by Council, two external examiners.
- 8.6 An external examiner must not be a member of a collaborating institution and must not have acted previously as one of the candidate's supervisors.
- 8.7 The examiners shall adjudicate on the thesis and, save in exceptional circumstances, shall examine the candidate orally on his/her programme of work and on the field of study in which the performance lies.
- 8.8 Where an oral examination is to be held the Senate shall appoint a senior member of academic staff to act as Chairman of the Board of Examiners. The Chairman shall not be an examiner.

9. Examination

- 9.1 Candidates for the degree of MD are required to have undertaken successfully an investigation and evaluation or a critical study of their approved topic, to have presented a satisfactory thesis, to have demonstrated their understanding of the context and significance of the work, and to have completed successfully a programme of work which results in a significant contribution to knowledge.
- 9.2 Following receipt of the thesis the examiners shall present independent written reports to Research Student Administration prior to the oral examination. These reports shall not be made available to the other examiner(s) until all reports have been received by Research Student Administration; they shall not be available to the candidate or the supervisor.
- 9.3 The examiners may, exceptionally, recommend to the Senate in their reports that the requirement to hold an oral examination should be waived; where no oral examination is to be held the Board of Examiners shall meet to agree its joint report and recommendation in accordance with 9.4 and 9.6.
- 9.4 Following the adjudication of the thesis and the oral examination, the members of the Board of Examiners shall, where they are in agreement, present a joint report and recommendation for the award or otherwise of the degree. Where the examiners are not in agreement separate reports and recommendations shall be made.
- 9.5 Where the recommendation of the Board of Examiners is not unanimous, the Senate may:
 - a) accept the recommendation of the external examiner(s), or
 - b) require the appointment of a new Board of Examiners and convene a further oral examination.
- 9.6 For a submission for the degree of MD the report of the Board of Examiners shall recommend:
 - a) that the degree should be awarded, or
 - b) that the degree should be awarded subject to minor corrections to the thesis being made, or to clarifications and/or enhancements being completed, to the satisfaction of the internal examiner within three months of the oral examination in accordance with the definition of 'minor corrections' as detailed in the Handbook for Examiners, or

- c) that the degree should be awarded subject to corrections to the thesis being made to the satisfaction of the internal examiner within six months of the oral examination in accordance with the definition of 'corrections' as detailed in the Handbook for Examiners, or
- d) that the candidate should revise and resubmit the thesis for the degree of MD.
- e) that the degree should not be awarded and no resubmission permitted.

9.7 One resubmission may be permitted, subject to the following:

- 1. a candidate shall submit for re-examination within the period of one year from the date on which permission for re-examination was granted;
- 2. the examiners shall give the candidate guidance on the deficiencies of the first submission;
- 3. the appointment of an additional external examiner may be required for the re-examination;
- 4. the examiners may exempt the candidate from repeating any part of the original examination which was deemed to be satisfactory.

9.8 Where the examiners' recommendation is that the degree should not be awarded and no further submission should be accepted, an indication of the deficiencies of the work shall be given.

10. Review of decision on progress

A candidate whose studies have been discontinued under section 5, or who is deemed under section 9 not to be eligible for the award of a degree, may ask for his/her case to be reviewed. Provided that the candidate lodges a request in writing to the Pro-Vice-Chancellor (Research and Impact) within one month of the approval of the recommendation of the Faculty or of the Board of Examiners in accordance with procedures laid down by Senate, the case shall be reviewed and the initial decision confirmed or amended.

11. Remunerative employment

A full-time candidate for a degree of MD shall not undertake or continue any remunerative employment unless:

- 1. The work consists of demonstrating within the University or teaching or other forms of work directly related to the candidate's programme of work, and
- 2. The total demand on the candidate's time, including preparation and travelling, does not exceed six hours a week unless he/she has obtained the prior approval of the Senate.

12. Members of staff of the University

Members of the full-time staff of the University may undertake postgraduate study leading to a degree of MD on a part-time basis only.

13. Intellectual Property

As a precondition of registration for the degree of MD all students will be required, prior to or at the time of enrolment, to sign agreements which will, or will oblige them in the future to assign to the University their rights in any intellectual property (IP) arising from their studies. Where research by a student registered for an MD results in an invention and/or creative work, whether by the student working on his/her own or as a member of a team, exploitation of the invention and/or creative work shall be subject

to the University's Intellectual Property Policy and Procedures, which provides, amongst other things, incentive and reward schemes should the IP be successfully exploited. If the University does not wish to exploit the IP, provisions are available for the re-assignment of such IP back to the student by the end of his/her studies, subject to any obligations of confidentiality assumed by the University and/or the student in relation to the IP.

The copyright of the student's thesis will be held by the University, but will, subject to the University's Intellectual Property Policy and Procedures, be returned to the student at the end of his/her studies. Should the copyright in the thesis relate to any IP which has been disclosed to Research and Impact by the student and/or his supervisor during or at the end of the study, and should the University wish to exploit such IP, a Student Declaration of Confidentiality may be applied to the thesis for a prescribed period to provide sufficient time for the implementation of appropriate intellectual property protection measures. The student will at all times retain copyright as an author in any papers written in relation to his/her thesis for publication purposes. This is subject to the student at all times complying with his/her obligation not to submit any such papers for publication which may contain potentially exploitable IP without the prior approval of Research and Impact.

The University reserves the right to retain a copy of the thesis, in written or digital format, in the University Library. The University reserves the right to be granted a non-exclusive royalty-free perpetual licence by the student for use of his/her thesis for non-profit academic purposes such as teaching, research and general internal use if deemed appropriate, subject always to the University's obligation to respect the moral rights of the student in relation to such copyright material.

14. Plagiarism

It is a requirement that all assessment material, including the final thesis, be presented as one electronic file in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, students should use industry standard software in the production of theses and should submit an electronic file on easily readable material, preferably CD.

15. Deposit of raw data and samples

In accordance with the requirements of the University Code of Practice for Professional Integrity in the Conduct of Research each student must deposit all raw data and samples with his/her supervisor prior to final presentation of the thesis. A statement confirming that the supervisor is content that all appropriate materials have been deposited must be presented to Research Student Administration at the time of submission.

Appointment of Supervisors

1. The student shall be supervised by two or more supervisors working as a team and shall be appointed by the Senate on the recommendation of the Faculty. This Supervisory Team shall include a chair, who in addition to providing a supervisory role in relation to the student's research shall deal with all administrative matters relating to the degree programme, take responsibility for all formal reporting and set-up the oral examination.
2. The Team shall also include at least one supervisor who has successfully supervised to completion at doctoral level and at least one supervisor who is a current Research Institute member or who has a track record of achievement in research consistent with inclusion in the REF.
3. Other team members can include academic and research staff with specialist knowledge in the research area or who have extensive experience in research supervision. All team members shall have the ability to demonstrate expertise in the project area.
4. All team members shall hold a doctoral level qualification or in exception circumstances, the Team can include one member who is able to demonstrate considerable equivalent experience. Supervisors who have not supervised to successful completion shall receive training in supervision prior to appointment or as soon as possible thereafter.
5. The Supervisory Team shall normally comprise two or three supervisors only.

6. Where collaboration has been arranged with another establishment, this establishment will normally appoint an additional supervisor.
7. A person who is registered for a research degree shall not normally be permitted to take on duties as a supervisor for a research student.
8. Should it be necessary, either on academic or other grounds, for a supervisor to be changed, approval of the Senate must be sought.
9. Where a supervisor cannot be appointed in accordance with the requirements of this section the Senate may make special arrangements for supervision.

Rules for the Final Presentation of Theses following Examination.

1. Two copies of each MD thesis, together with an electronic copy in PDF format on an easily read medium e.g. CD, must be lodged with Research Student Administration and shall become the property of the University. The printed copies of the theses shall be securely bound and a summary or abstract of the work not exceeding 300 words in length shall be bound with each copy. The abstract shall be in a form suitable for publishing in learned journals. One additional copy of the abstract and title page(s) shall be provided by the candidate to be forwarded to the EThOS. The examiners will accept a thesis for adjudication prior to binding. No degree will be awarded, however, until the bound copies are received. The Senate shall approve guidelines for the typing and binding of theses and for the presentation of supporting material.
2. A thesis submitted for the degree of Doctor of Medicine shall not exceed 100,000 words in length, excluding in cases appendices, footnotes, bibliographies and diagrams. These limits shall be strictly enforced and only in exceptional circumstances will permission to exceed them be granted.
3. Faculties may recommend lower lengths as standard within an academic discipline.
4. The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material and any assistance received.
5. Where a candidate's research programme is part of a collaborative group project the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
6. Any part of the work which has been previously submitted for any other degree must be clearly indicated in the thesis.
7. Where permission has been granted to a candidate to present a thesis in a language other than English, an appropriate digest of the thesis written in English must also be submitted and be suitably bound for library use. This digest should consist of a summary of the introductory material, followed by a brief account of the contents of each chapter, and finally a statement of the general conclusions.
8. The copyright of the thesis will be held by the University but will be returned to the candidate following implementation of appropriate intellectual property protection measures.
9. A candidate or collaborating establishment may apply for the thesis to remain confidential for a period of time after completion of the work. The period approved shall not normally exceed two years. This regulation shall not apply to the abstract.
10. It is a requirement that the thesis be presented in electronic format so they can be stored and made available, by the library, through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement. For this purpose, students should use industry standard software in the production of thesis and submit the final digital copy in PDF format and as a single file where possible.

Appendix 5 Regulations for the Degrees of Doctor of Letters (DLitt), Doctor of Science (DSc), Doctor of Fine Arts (DFA) and Doctor of Laws (LLD)

Preamble

Section 3 of the Ordinance on Degrees, Diplomas, Certificates and Other Academic Distinctions (Ordinance XXX) states: "The University may confer the following degrees upon graduates or members of staff of the University in recognition of distinguished contributions to scholarship or original research: Doctor of Letters (DLitt), Doctor of Science (DSc), Doctor of Fine Arts (DFA) and Doctor of Laws (LLD). Applications for the degrees of DLitt, DSc, DFA or LLD may be submitted not less than six years after first graduation in the University, or in the case of members of staff who are not graduates of the University, not less than six years after taking up appointment. Periods since graduation on completion of a degree course at the New University of Ulster or the Ulster Polytechnic, or since appointment as a member of staff of either institution, may be accepted for the purpose of meeting this requirement. The procedures for the consideration of applications for higher doctorates shall be prescribed in regulations."

The degree of DLitt, DSc, DFA or LLD is awarded only for published work or other public output that is of an exceptional standard containing original contributions to the advancement of knowledge in a specific field of enquiry. The published work or other public output should provide evidence of a sustained, consistent and coherent contribution to the field of enquiry that has been established over a number of years and that has led to the development or extension of the field by other researchers.

Regulations

Admission requirements

1. Applications for the degree of DLitt, DSc, DFA or LLD may be submitted not less than six years after first graduation in the University, or in the case of members of staff who are not graduates of the University, not less than six years after taking up appointment.
2. Applications shall be based on completed research. For this purpose 'research' is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes scholarship; the invention and generation of ideas, images, performances and artefacts including design where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, and processes, including design and construction. It excludes routine testing and analysis of materials, components and processes. The dissemination of the results of the research shall have taken place in the form of books or of articles in academic journals of recognised standing or of conference papers, or, in the performing and creative arts, work which may be non-text based. In all cases documentary evidence relating to the research output must be available and for the purpose of these Regulations the work to be submitted shall be referred to as 'the published work or other public output'.
3. Applications shall be accompanied by the following:
 - a) details of the published work or other public output which the applicant wishes to be considered;
 - b) a statement, of between 1,000 and 2,000 words, setting in context each item of published work and indicating how and in what respect these items have made a significant and coherent contribution to knowledge;
 - c) a statement indicating the extent to which the published work or other public output has been carried out by the candidate and a clear indication of any parts of the published work which have been carried out in collaboration or which have been submitted previously for any other degree or qualification. Further, if the published work is the result of collaborative research, a statement must, where possible, be provided by the collaborating researcher(s) confirming the contribution made to the research by the candidate.
4. Consideration of the quality and quantity of the published work or other public output presented by the candidate at application shall be made by a panel to comprise the Director

of the relevant Research Institute, the Head of Research Graduate School, and one or more subject specialists. This panel shall inform the decision on the candidate's admission for examination.

5. Decisions relating to admission shall be made by either the Board of the Faculty (for normal admissions) or by the Research Degrees Committee on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate
6. The RI Director or appropriate nominee shall be appointed as supervisor in advance of registration for the purposes of locating the candidate within a research group and to take action in relation to administrative aspects of the candidate's registration.

Appointment of Examiners

The Senate shall nominate, for appointment by the Council, at least two external examiners and one internal examiner. In addition a Chair shall be appointed who shall take action necessary in order to process the application through the University's procedures for examination of research degrees.

Submission for Examination

Submissions for the degree of DLitt, DSc, DFA or LLD shall be sent to Research Student Administration and shall be accompanied by three sets of the following documents:

- a) Copies of each of the publications which the candidate wishes to be considered;
- b) A statement not exceeding 20,000 words showing the relationship between the various studies and indicating how far and in what respect the contributions appear to him/her to advance the study of his/her subject;
- c) A summary of this statement not exceeding 300 words;
- d) A statement indicating the extent to which the work has been carried out by the candidate above;
- e) A clear indication of any parts of the work which have been carried out in collaboration or which have been previously submitted for any other degree;
- f) Such additional material as may be specified by the University.

Examination Outcomes

The examiners may recommend:

- a) that the degree should be awarded,
- b) that the candidate should be permitted to re-apply for the degree after a period of not less than five years, **or**
- c) that the degree should not be awarded.

A candidate may not apply for either degree on more than two occasions.

One set of the documents submitted by each successful candidate shall be retained by the University.

Appendix 6

Notes of Guidance for the Presentation of Theses for Research Degrees ¹

1. Submission of theses for Examination

A candidate for a research degree (including MPhil, PhD, and Doctor of Medicine) who is not a member of staff of the University should submit **four** temporarily bound copies of the thesis for examination in the first instance. A student who has been a full-time member of staff for a period exceeding two years, or part-time equivalent, should submit five copies.

You should present a full copy of your thesis in electronic format on a CD or USB storage device. This is to enable the Faculty to submit your work through Turnitin plagiarism detection software. Note that in all cases industry standard software, e.g. Microsoft Word, should be used to produce the text of the thesis and any appendices in text form.

For a thesis to be regarded as formally submitted, all copies must be deposited with Research Student Administration in the first instance.

2. Paper quality and typographical detail

A4 size white paper, of good quality (see end-note 1), should be used; both sides of the paper may be used for printing; however, should only one side be used, this should appear as the right hand page (rectos).

The size of character used in the main text, including displayed matter and notes, should be not less than 2.0mm for capitals and 1.5mm for x-height (height of lower case x).

3. Method of Production

The presentation should be a permanent and legible form in typescript or print with uniform density of type (see end-note 2) and drawings and sketches in black ink. Colour may be used in illustrations only if it is necessary to improve scientific clarity. Copies, produced by xerographic or comparably permanent processes, should be clearly legible and capable of photographic reproduction. Where colour has been used, sufficient copies must be provided for the purposes of the examination.

4. Lay-out

Margins at the binding edge should be not less than forty millimetres and other margins not less than twenty millimetres. Double or one-and-a-half spacing should be used in the typescript, except for indented quotations or footnotes where single spacing may be used. Quoted matter which is displayed, normally more than thirty words, should be indented 5 millimetres to 10 millimetres.

5. Numbering of Pages

Pages should be numbered consecutively through the thesis, including appendices but excluding photographs and/or diagrams which are not embodied in the text. Introductory pages may be in numerals, separate from the main text. Page numbers should preferably be located in the top outer corner of each page.

6. Introduction of Thesis

The following preliminaries to the thesis shall be presented in the order listed:

¹ *These are generally in line with the British Standard recommendations for the presentation of theses and dissertations (BS4821:1990)*

a) Title Page

The title page shall give the following information in the order listed:-

- i. the full title of the thesis and the sub-title if any;
- ii. the total number of volumes if more than one, and the number of the particular volume;
- iii. the full name of the author and full details of his degree;
- iv. the Faculty, and the University's name e.g. Faculty of Engineering of Ulster University
- v. the degree for which the thesis is submitted;
- vi. the month and year of submission of the thesis.
- vii. a statement regarding the total word count of the thesis (*I confirm that the word count of this thesis is less than 100,000 ((or 60,000 for MPhil)) words*) excluding the title page, contents acknowledgements, summary or abstract, abbreviations, footnotes, diagrams, maps, illustrations, tables, appendices, and references or bibliography.

b) Contents

c) Acknowledgements

The candidate shall acknowledge any assistance received. Where the research programme is part of a collaborative group project the candidate's individual contribution and the extent of the collaboration must be clearly indicated. Any part of the work which has been previously submitted for any other degree must also be clearly indicated in the thesis.

Articles which have appeared in journals to which the copyright has been assigned should not be included within the thesis without the express permission of the journal.

d) Abstract

There shall be an abstract of the work not exceeding 300 words in length. This shall provide a synopsis of the work and shall state clearly the nature and scope of the research undertaken and of the contribution made to the knowledge of the subject treated. There should be a brief statement of the method of investigation where appropriate, an outline of the major divisions or principal arguments of the work and a summary of any conclusions reached.

e) Abbreviations

Where abbreviations are used a key shall be provided. Abbreviations may be used at the discretion of the author. For an abbreviation not in common use, the term shall be given in full at the first instance followed by the abbreviation in brackets.

f) Note on access to contents

Candidates are required to include one or other of the following declarations:

"I hereby declare that with effect from the date on which the thesis is deposited in Research Student Administration of Ulster University, I permit

1. the Librarian of the University to allow the thesis to be copied in whole or in part without reference to me on the understanding that such authority applies to the provision of single copies made for study purposes or for inclusion within the stock of another library.

2. the thesis to be made available through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement which I have signed.*

IT IS A CONDITION OF USE OF THIS THESIS THAT ANYONE WHO CONSULTS IT MUST RECOGNISE THAT THE COPYRIGHT RESTS WITH THE AUTHOR AND THAT NO QUOTATION FROM THE THESIS AND NO INFORMATION DERIVED FROM IT MAY BE PUBLISHED UNLESS THE SOURCE IS PROPERLY ACKNOWLEDGED".

OR

"I hereby declare that for 2 years following the date on which the thesis is deposited in Research Student Administration of Ulster University, the thesis shall remain confidential with access or copying prohibited. Following expiry of this period I permit

1. the Librarian of the University to allow the thesis to be copied in whole or in part without reference to me on the understanding that such authority applies to the provision of single copies made for study purposes or for inclusion within the stock of another library.
2. the thesis to be made available through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement which I have signed.*

IT IS A CONDITION OF USE OF THIS THESIS THAT ANYONE WHO CONSULTS IT MUST RECOGNISE THAT THE COPYRIGHT RESTS WITH THE UNIVERSITY AND THEN SUBSEQUENTLY TO THE AUTHOR ON THE EXPIRY OF THIS PERIOD AND THAT NO QUOTATION FROM THE THESIS AND NO INFORMATION DERIVED FROM IT MAY BE PUBLISHED UNLESS THE SOURCE IS PROPERLY ACKNOWLEDGED."

***For MPhil theses only**, point 2 of the above two declarations does not apply and should be removed prior to submission.

7. Footnotes

The manner of presentation of footnotes shall follow the accepted practice of the Faculty in which the author is enrolled.

8. Diagrams, Maps, Illustrations, Published Papers, Tables

a) Binding

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

b) Photographic Print

Photographic print shall be on single weight paper or permanently mounted on cartridge paper for binding and shall be securely fixed in the thesis.

c) Other Illustrative Material

Other material which cannot conveniently be bound in the text may be placed in a pocket to be attached to the inside back cover by the book binder. A list of the materials contained within the pocket must be securely affixed to it.

d) Numbers and Captions

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

e) Tables

Tables shall be numbered consecutively throughout the text. The method of numbering shall be distinct from that used for other material. There should also be a title for each table which should follow a number.

9. End Matter

a) Appendices

Appendices shall follow the main text and precede the index (if provided). Appendices may consist of supporting material of considerable length or of lists, publications, tables or other evidence which, if included in the main text, would interrupt its flow.

b) List of References

In arranging the list of references, the author should adopt the accepted practice of theses submitted in the author's Faculty.

Note: References made to materials available only in semi-permanent or electronic form should be kept to a minimum. These should form a minority of the references and should only be used when no other form of reference is available.

10. Non-Book Media

Work submitted in forms which cannot be incorporated in a pocket within the bound thesis should be provided with an appropriate container approved by the University Librarian and should have on the outside the following information:

- i. Year of submission
- ii. Degree
- iii. Author's initials and name.

A list of the materials included in the container must be securely affixed to it.

Non-book media submitted with a thesis may include slides, audio-tapes, videotapes, computer print-outs, programmes on magnetic media and musical scores.

In the case of slides, audiotapes and videotapes these must be recorded by suitable processes on good quality material capable of preservation over a long period without appreciable deterioration of the content. They must also be suited to playback on equipment in use in the University. A candidate must seek guidance from the Head of Educational Technology concerning specifications of such items. Similarly candidates intending to submit programmes on magnetic media must seek guidance from the Head of Computer Services.

11. Binding

a) Cloth

Cloth shall be of buckram with colours as follows:

PhD (Red 535)

MPhil (Green 557)

Samples of the colours used can be seen in the Library on application to the Librarian or at Research Student Administration. Theses must be bound in colours identical to these.

b) Lettering

Gold lettering shall be used on the spine, giving the following information:

- i Year of submission e.g. 1998
- ii Degree e.g. PhD
- iii Author's initials and name e.g. A.N.Other

Note: (i) and (ii) should run across the spine, the bottom of the lettering being 20 millimetres and 50 millimetres from the top of the spine. The author's name should run from top to bottom of the spine, beginning 80 millimetres from the top of the spine.

If work consists of more than one volume, the spine shall also bear the number of each volume.

c) Responsibility for Binding of Theses

The transaction between the author of a thesis and a bindery is entirely personal and Ulster University will not act as agent.

Names of possible binders are on the last page of this booklet.

12. Alternative form of presentation

In appropriate cases the Research Degrees Committee may permit a candidate, who so requests, to present a thesis accompanied by material other than in written form. Such approval must be sought from the Research Degrees Committee at the time of application for admission or when approval to modify the programme of research is sought and the form which the candidate's presentation will take should be indicated.

13. Submission of Theses for Library Deposit

Following examination two copies of each thesis, bound in accordance with the requirements in Section 11 *Binding* (above) shall be submitted to Research Student Administration. One additional copy of the abstract and title page shall also be provided by the candidate to be forwarded to the EThOS (PhD theses) and Index to Theses (for MPhil theses).

In addition, students who have been awarded a PhD are required to submit an electronic copy of their final thesis on CD for depositing with the library and sign the Ulster eTheses Deposit Agreement licensing their thesis to be made available via Ulster Institutional Repository and/or EThOS.

14. Plagiarism

It is a requirement that all assessment material, including the final thesis, be presented in electronic format in order to facilitate the use by examiners of software designed to detect plagiarism. You should present a full copy of your thesis in electronic format on a CD or USB storage device. Note that in all cases industry standard software, e.g. Microsoft Word, should be used to produce the text of the thesis and any appendices in text form. No student or staff member other than those directly employed within the Research Graduate School Office is permitted to use Turnitin software to process any part of a research thesis.

The output from the Turnitin process will be forwarded to the Board of Examiners for consideration at the oral examination at which time any plagiarised work found in the thesis will be highlighted. A system of penalties is in place and will be implemented in cases where plagiarism proven and candidates should note that in such instances it is possible that the thesis will fail.

End-Notes

1. Recommended Paper

A4 within the range 70 gsm to 100 gsm.

Paper for mounting photographs or other material

Any paper, preferably white, not below 120 gsm and not above 200 gsm.

Gsm = Grams per square metre; the higher the value the thicker the paper.

2. Methods of production

The use of a word processor with laser printer or printer of equivalent standard is recommended.

Binders' Addresses

No Alibis Bookstore

83 Botanic Avenue
Belfast
Tel no: 028 9031 9607
Email: david@noalibis.com
www.noalibis.com

CDS Print and Repro Centre (Thesis postal service available)

Queens University Belfast
Level 1, Admin Building
Tel No: 028 90313 865
Email: qub@cds.co.uk
www.finebind.co.uk

David Willis, Belfast Bookbinding Co

Unit 7, North City Business Centre
2 Duncairn Gardens
Belfast
BT15 2GG
Tel no: 028 9074 8411
Email: info@belfastbookbinding.com

H D Finch Reprographics Ltd

7 Elmwood Avenue
Belfast
BT9 6AZ
Tel no: 028 9068 3699
Email: info@hdfinch.co.uk
www.hdfinch.co.uk

Collon Shoe Repairs

23 St. Patrick's Terrace
Pennyburn
Londonderry BT48 7QR
Tel no: 028 713 09390
Email: maria.mccallion@btinternet.com

Appendix 7 Guidelines for PhD Theses Presented in Papers Format

Rules for the presentation of theses are included in the Regulations for the degrees of MPhil and PhD (see Appendices 1 and 2 of this Handbook).

Although the common subdivisions for a science PhD thesis are introduction, experimental, results and discussion, references and appendices, other formats can be considered.

The format described below is encouraged within some research groups of the Faculty of Life & Health Science since the resulting chapters may be suitable for publication as papers in international journals, with little modification. Students are not obliged to adopt this format, but those who do must take account of the following requirements of the Research Degrees Committee (RDC minute 99.43), which address problems which are presented by this approach.

- (i) candidates and co-authors would be required to provide a statement or statements indicating the levels of the various contributions to the papers;
- (ii) examiners would be permitted to require revisions to be made to any previously published papers included in the thesis; and
- (iii) candidates should be prepared to take appropriate advice on copyright matters relating to jointly-authored and previously published works.

Furthermore, it is imperative that the thesis provides a cohesive report of a major research study and that the introduction and general discussion establish the context of the papers which may be presented as individual chapters.

Format for a PhD thesis designed to incorporate publishable papers as chapters:

- (a) Cover, title page etc
- (b) Abstract (one page)
- (c) General introduction of less than 3,000 words providing a background to the work. This should be followed by a clear statement of the aims of the investigation, the rationales for the experimental work and an outline of the thesis.
- (d) A review of the literature (in a publishable form). Such a review should have a stated aim and should take an original approach and build on earlier reviews in the literature and not just paraphrase them. Published reviews are important for the development of the subject area and have the added advantages of encouraging the student to think and to generate new hypotheses.
- (e) A series of papers suitable for publication in peer-reviewed international journals, presented as individual chapters of the thesis.
- (f) A general discussion of less than 5,000 words addressing whether or to what extent the aims of the research work have been achieved, the significance of the results obtained, and suggestions for further work. This discussion must establish cohesion between the preceding chapters (papers) within the context of the thesis topic.
- (g) Summary of the major findings, preferably in point format.
- (h) List of publications (including papers submitted) of the candidate divided into those related to the thesis and other publications.
- (i) Appendices: If a candidate has collected data or carried out other developmental work which cannot be incorporated readily into a scientific paper, or for which the candidate was not primarily responsible, such information should be placed in an appendix or a number of appendices. These

appendices could also contain detailed descriptions of the methodology - not normally described in full in scientific papers.

Assessment criteria:

The following notes of guidance are designed to provide information for supervisors and students involved in the preparation of PhD theses. They supply explanatory material which must be read in the context of the regulations and university guidance notes.

Two important things need to be borne in mind at the outset:

1. Whatever the format of thesis presentation it is the quality of the content, analysis and presentation that will be evaluated by the examiners. Modifying the presentation format will not serve to disguise shortcomings in the content of the work.
2. It must be remembered that the thesis is being written primarily for the examiners to carry out the examination of the work within the context of the regulations. Other objectives such as preparation of material for publication are subsidiary.

The University allows the presentation of a PhD thesis either in the traditional format with chapters covering introduction, literature review, methods, results, discussion etc or with the material focused around manuscripts in paper format (not necessarily already published or even submitted). Regardless of the format chosen the same assessment criteria are used as follows:

- 3.1 The thesis must be essentially free of plagiarised material, from whatever source.
- 3.2 The title of the thesis is accurate and succinct; describing the work carried out, and contains appropriate key words for electronic abstracting.
- 3.3 The abstract accurately describes the outcomes of the research without extraneous discussion and is of appropriate length, not more than 300 words.
- 3.4 The aims of the research are clearly identified and the extents to which these aims have been met are fully discussed.
- 3.5 The context of the research is well developed through reference to contemporary and historical material where appropriate.
- 3.6 The volume of effort reflected in the piece of research is appropriate to the length of the research programme.
- 3.7 The thesis reports a piece of independent and original work carried out by the student and where collaborative work is included the relevant contribution of all participants is clearly identified.
- 3.8 The thesis contains clear evidence that appropriate methodologies have been selected and justified, that they have been correctly applied and that the results have been properly interpreted.
- 3.9 Where results are presented in other than textual form these use suitable formats that are intelligible, unambiguous and not repetitive.
- 3.10 The student must demonstrate in the thesis a critical understanding of the outcomes of the research and its significance.
- 3.11 The use of reference materials in the thesis must be appropriate to the field of study, must be correctly used and cited and should contain the most relevant research.
- 3.12 The overall presentation of the thesis must be of a standard that makes assessment of the work readily possible. The language use, organisation and layout and absence of errors must be of a high standard.

3.13 The research contained in the thesis must represent a level of practical and intellectual achievement by the student suitable for the award of a doctorate.

Examiners are asked to bear in mind that theses must be completed within strict time limits, adherence to which is monitored by the Research Degrees Committee in consultation with those responsible for the progress of individual students. Theses constitute the outcome of a period of training in research methods and, in order to present a satisfactory thesis, students must exhibit a capacity to apply appropriate techniques successfully at masters or doctoral level.

Where the student and the supervisors agree that a paper format is appropriate for a thesis, simply submitting a number of paper manuscripts without additional material will not satisfy the requirements above. The paper format is probably a more difficult one to achieve than the traditional format. The papers included in such a thesis should be of a standard suitable for acceptance for publication in a good, peer reviewed journal in the subject area. The following requirements should be particularly scrutinised closely to determine if they have been met.

- Have the aims and objectives of the work as a whole been clearly stated?
- Has the context of the work as a whole been fully developed? To do this effectively a separate introduction/literature review will be required.
- Have appropriate methodologies been developed and properly applied? A separate section may be required to describe the process of method development that otherwise might not be included in a paper.
- Has a critical understanding of the work been demonstrated by the student? It is essential that a summarising discussion section is included where a number of separate papers are submitted.
- Where the paper manuscripts indicate multiple authorship the precise contribution made by the student to the execution of the work and the writing must be explicitly stated.
- Is the thesis presented in a form that makes assessment of the work readily possible by the examiners? This requirement needs to be carefully considered where paper formats are being used due to the potential for a disjointed and repetitious mode of presentation.

Appendix 8 Framework for Distance Research Study

Ulster University welcomes applications from non-UK residents wishing to register for study leading to the award of a PhD on a 'distance' basis.

Research activities at the University are organised within various Units of Assessment. An Ulster University supervisor(s) will be appointed for all distance PhD students. Supervision will normally only be approved by the University for those projects where there is existing research expertise at the University. In addition, an external supervisor(s) for the research study will be required at the home institution hosting the PhD student*. Ulster University Research Degrees Committee approves the appointment of External Supervisors in line with agreed guidelines. In light of these requirements, it is advisable for those considering this mode of study to have informal discussions with the potential Ulster University and external supervisor(s) before submitting their application. Contact with relevant research active staff at the University can be made via the relevant Faculty Research Graduate School or via Research Student Administration at the University. Details of contact names, addresses, telephones and emails are available in the Research section of the Prospectus which is available online (<http://prospectus.ulster.ac.uk>).

*Students in the Faculty of Arts may in certain circumstances be exempt from the requirement to have a supervisor in their country of study. In order for such an exemption to be approved by the Faculty Research Committee, Ulster University supervisor(s) must first agree with the student a schedule of supervision contact, which must include a combination of written and face-to-face elements, and should make use where appropriate of electronic (internet, video) communication facilities. The schedule must be comparable in terms of substance and frequency of contact with what would normally be expected by for students in attendance at Ulster University. Students who are not required to have an external supervisor in their country of study must undertake to participate in the Researcher Development programme and to make themselves available for the confirmation viva (within 24 months) during the period that they are required to be on campus at Ulster University.

Application, Admission and Fees

For admission to PhD, applicants should have a first or upper second class honours degree in a subject area related to the proposed research study and a recognised English language qualification of Ulster admissions standard, e.g. IELTS score of 6.0, with a minimum of 5.5 in each component. Applicants should apply through the online application system and should indicate that they wish to be considered for registration as a distance research student, and give details of the institution or organisation in their vicinity where the proposed external supervisor will be located. A statement from the proposed external supervisor on suitable headed paper should be included with the application form, indicating willingness to act in the capacity of external supervisor and also verifying that the expectations are clear and the necessary resources are available at the proposed site of distance study to support the PhD project work.

The fee for this mode of study is £7635 per annum for the 2016/2017 academic year. All fees are subject to annual review by the University. It is possible to pay the annual fee in two instalments and the first instalment must be paid at the time of registration.

Applications may be received and considered at any stage of the year.

Registration and Progress

Successful applicants will be registered part-time for the programme of Doctor of Philosophy (PhD) by distance study and will be subject to the University's regulations for PhD. These are provided to all new research students and are available online.

The period of study for a part-time PhD is six years (which may only be reduced in exceptional circumstances with approval by the University Research Degrees Committee).

Research students at the University are required to undertake a Researcher Development Programme. The outcome of this training will be assessed at the Confirmation of Registration stage of study. It is intended that in the future details of the learning objectives and indicated learning resources for this Researcher Development Programme will be provided to all distance research students soon after registration.

Between twelve and twenty-four months of study, PhD students are required to write a report on their progress to date and a plan for their future research, and to make a presentation, against which assessment by a panel of research active staff will be made. Further details of this confirmation of registration can be found in the regulations. In the case of distance PhD students this may be undertaken by video conferencing.

The annual report form (forms RS3 and RS4) will be completed by the student and supervisors during April of each year and considered by the Research Graduate School of the Faculty concerned, action being taken as necessary on any matters of concern.

It is required that distance PhD students seek to spend at least one period of six weeks undertaking research study at Ulster University.

Examination

Examination procedures are as authorised in the regulations. The thesis will be submitted through Research Student Administration and dispatched to members of the Board of Examiners. The oral examination will normally be held at one of the campuses of Ulster University.

Communication with Supervisors and the University

PhD students are required to have regular meetings with their supervisors to discuss their research progress. Action points from substantive meetings should be recorded and copies maintained by the supervisors, student and relevant Research Graduate School at Ulster University. The relevant proforma will be made available to PhD students by the Research Graduate School at the time of registration and subsequently.

PhD students may communicate with the University through their research supervisor(s) based at the University, the Research Graduate School of the Faculty in which they are registered or via Research Student Administration and will at various stages of their programme of study receive correspondence from each of these, to which they will be required to respond as indicated.

Student Complaints and Appeals

Registered students of Ulster University may also avail of the student complaints procedure. There is also an appeals procedure, which the student may invoke in the event of either: a recommendation from the Research Degrees Committee that the student should withdraw due to lack of academic progress; or a recommendation from a Board of Examiners that the student should not be awarded the degree for which they are enrolled.

Appendix 9 Code of Practice on Admissions, Supervision and Examining of Research Students, where a Member of Staff has a Personal Interest, Involvement or Relationship with a Student or Prospective Student

Preamble

This policy is aimed at ensuring the integrity of the admissions, training and examining procedures associated with research degree students within the University. It provides important safeguards for University staff and students who are in close personal relationships, with the objectives of ensuring that the admission and progression of the student are managed entirely on a professional basis and protecting staff from potential allegations of favouritism and unfairness.

Any departure from the following principles must be approved by the University Research Degrees Committee.

Admission

The member of staff shall not normally be involved in the consideration of the prospective student's application, including the interview processes which forms part of the selection process. Where involvement cannot be avoided, due to the specific area of proposed research investigation, then another member of staff from within the broad subject area will be appointed (and without any personal interest, involvement or relationship with the applicant) to the admissions process to ensure its integrity.

Supervision

The member of staff may be appointed as a member of the Supervisor Team if the conflicted staff member is recognised as having specific research expertise in the topic to be investigated.

Examination

If the conflicted member of staff is an appointed supervisor to the student then they shall not be permitted to act in the capacity of Internal Examiner and shall only attend the examination at the request of the student.

All nominated Internal and External Examiners are required to declare personal interest, involvement or relationship with the student at the time of their consideration as examiners for the research degree. If any conflict is declared then alternative potential examiners will be approached.

Appendix 10

Role of Student and Supervisor

The Role of the Student

Personal responsibility as a researcher and doctoral candidate

1. Accept ultimate responsibility for completion of the agreed research project
2. Accept responsibility for your eligibility and preparedness for a research degree and for adherence to relevant Faculty and University regulations and guidelines
3. Act as a responsible member of the academic community
4. Maintain satisfactory progress of the agreed programme of research
5. Take the initiative in raising any problems or difficulties for discussion with the supervisor(s) and/or Head of Research Graduate School as appropriate
6. Identify personal development and training needs in consultation with supervisors
7. Make appropriate use of both formal and informal teaching and learning opportunities provided by the University
8. In collaboration with supervisor(s), assume responsibility for the direction, timetable and progression of the research project
9. Act in accordance with relevant legislation and regulations in respect of health and safety, ethics etc
10. Ensure that the final thesis is submitted within the designated period, taking due account of advice and recommendations of supervisor(s)

Meetings, written work and records

1. Discuss and agree with the supervisor(s) a schedule of regular supervisory meetings
2. In collaboration with supervisors, set agenda for supervisory meetings and address the schedule of any agreed actions in a timely fashion after each formal meeting
3. Discuss and agree with the supervisor(s) the most appropriate type and extent of guidance/feedback
4. Submit written work for review and comment by supervisor(s) at agreed times
5. Maintain clear, accurate, detailed and accessible records of all relevant work
6. Provide adequate explanation of any failure to meet commitments, including meetings
7. Prepare periodic progress reports on the research project by due dates as required by University and Faculty procedures and (where appropriate) any relevant external agencies
8. Inform the supervisor of any communications in relation to the research project, including communications from sponsors, external agencies and other researchers

Communication of findings

1. Assume ultimate responsibility for the communication of research findings to others in the academic, scientific and professional communities as appropriate to the area

2. Establish, in agreement with the supervisor, a strategy for the communication and dissemination of research outputs in a timely and effective manner
3. Ensure that all contributions to the work are appropriately acknowledged and recognised, paying particular attention to the issue of co-authorship where appropriate
4. Obtain appropriate consent from supervisors and any relevant co-authors to publication of findings from work undertaken as part of the thesis
5. Avoid inappropriate publication or duplication of others' work
6. Ensure that intellectual property rights are respected in relation to output from the research programme, both during the period of registration and subsequently
7. Ensure that any circumstances which might require the mode of study to be altered (e.g. transfer to part-time or writing-up status) or the registration period to be extended, suspended or withdrawn, are brought to the attention of his/her supervisor(s)

The Role of the Supervisor

N.b. it should be noted that the following guidelines relate to the student's entire registration period including any period of revision and re-submission.

Personal responsibility as a supervisor and academic

1. Assume, in collaboration with the student, responsibility for the satisfactory progress and completion of the agreed research project, making reasonable adjustments where necessary
2. Possess and maintain knowledge of the research area to provide adequate supervision of the research project
3. Possess and continue to develop the appropriate skills to facilitate the production of high quality research work by the student
4. Develop, in collaboration with the student, an appropriate planning schedule for successive stages of the research project (including writing-up) so that the thesis may be completed and submitted within the appropriate timescale
5. Ensure, where appropriate, that ethical committee and other related approvals have been obtained
6. Assist students in identifying their development and training needs and in selecting appropriate courses and other opportunities for training as part of their personal development
7. Encourage and instil a high standard of research ethics on the part of the student, in particular avoiding conduct which may lead to fabrication of research results or plagiarism
8. Ensure that the student is made aware of any unsatisfactory progress or standard of work, and arranging any supportive action as necessary
9. Exercise formal duties in respect of University regulations and guidelines
10. Advise student when the thesis should be considered ready for submission
11. Make arrangements for examination of the thesis
12. Providing guidance, encouragement and counsel regarding the future career plans of the research student

Meetings, written work and records

1. Maintain and ensure availability for regular contact with the student, making sufficient time available to fulfil the needs of the individual research student
2. Review written work produced by the student and provide appropriate and constructive criticism in a timely fashion and within two weeks of submission
3. Maintain and ensure that student maintains clear, accurate, detailed and accessible records of work undertaken
4. Maintain and ensure that student maintains a record of supervisory meetings and agreed actions
5. Retain a copy of all written feedback provided to the student

Communication of findings

1. Encourage students to avail of opportunities to present research work at appropriate seminars and meetings, both intra- and extra-murally
2. Assume an active role in introducing the student to other workers in the field, and in encouraging attendance and membership of appropriate academic bodies and societies
3. Ensure that any formal requirements on the part of external bodies or agencies in relation to the submission of reports, observation of confidentiality, training etc are met
4. Ensure that appropriate agreement has been obtained with all parties, including external sponsors and potential co-authors, in relation to the communication of research outputs
5. Ensure that the student is aware of all issues regarding intellectual property rights and intellectual contribution relating to the research project
6. Encourage appropriate and early dissemination of research findings
7. Obtain the agreement of the student for any publication of work contained in the thesis, and quoting the student as a co-author

The role of an external supervisor will include:

8. Contributing to the guidance and monitoring of the student in collaboration with the University supervisor who will be a member of staff of the University
9. Ensuring that the student is made aware of the rules and regulations governing the collaborating organisation's premises and working practices including health and safety and confidentiality

Appendix 11 Procedures for the Review of Decisions

Candidates for the Degrees of Master of Philosophy and Doctor of Philosophy (PhD)

1. A candidate who is deemed by the Board of the Faculty under section 10 of the regulations not to be eligible for the award of the degree for which he/she was a candidate and is not permitted to re-submit his/her thesis for that award may ask for his/her case to be reviewed.
2. After a thesis has been submitted no review will be allowed on grounds of complaint about the inadequacy of supervisory or other arrangements during the period of study, or on the grounds of undisclosed personal difficulties prior to examination and assessment.

3. Grounds for Review

Eligible grounds are:

- a) circumstances affecting the student's performance of which the Board of Examiners was not aware when it made its recommendation (subject to point 2 above);
- b) procedural irregularities in the conduct of the examination, and
- c) evidence of prejudice or bias or of inadequate assessment on the part of one or more of the examiners.

4. Request for Review

A student who wishes his/her case to be reviewed shall lodge a written statement with Research Student Administration within one month of the decision of the Research Degrees Committee.

The Chair of the Research Degrees Committee (or appropriate nominee), in consultation with Research Student Administration and the Pro-Vice-Chancellor (Research & Impact) will give initial consideration to all appropriate requests for review submitted in accordance with sections 1 to 3 above. Where it is determined that the review is being sought on the basis of procedural irregularity in the conduct of the examination and there is clear evidence to indicate that such an irregularity did occur, the Chairperson of the Research Degrees Committee may recommend that a new examination should be conducted in accordance with the appropriate regulations. Replacement examiners may be appointed if it is determined that the original examiners have not acted in accordance with the Regulations.

In all other cases, the request will be referred to the Standing Committee for Research Degree Appeals which is constituted as follows: External Nominee (lay member of Council); Research Degrees Committee nominee (the Committee, at least biennially shall appoint a panel of senior academic staff with supervisory experience from amongst whom a nominee will be selected); Senate nominee; representative from the Office of the University Secretary; secretarial support from Research Student Administration. The nominee from the Research Degrees Committee shall be the Chair of the Standing Committee.

5. Review Process

Research Student Administration shall give the student ten days' notice in writing of the meeting of the Standing Committee for Research Degrees Appeals and shall inform him/her that he/she has a right to present his/her case in person and to be accompanied by a member of Ulster University of his/her choice.

The Standing Committee for Research Degrees Appeals shall meet and consider the student's statement and a report from the Research Degrees Committee, which shall have consulted with the Board of the Faculty or the Board of Examiners if appropriate.

Reports from the Board of Examiners or the Board of the Faculty as appropriate shall be made available to the Standing Committee for Research Degrees Appeals where this is necessary for the proper consideration of the review. In addition, the Board of the Faculty shall be informed that a review of the decision has been requested; they shall be invited to submit comments to the Committee in a form that can be made available to the student and shall be informed that where such comments are not submitted the student shall be given an unattributed summary of the main points of the report.

The Committee having considered the evidence and taken such advice as may be necessary shall:

- a) re-affirm the original decision of the Board of Examiners; or
- b) consider what recommendation to make to the Research Degrees Committee such as
 - i. to recommend that, for reasons stated, the Board of Examiners should reconsider its decision;
 - ii. to give the student permission to revise the thesis and re-submit for re-examination within a specified time limit, or
 - iii. to declare the examination null and void and to direct that a fresh examination be conducted.
- c) make recommendations and comment on other related matters to RDC.

6. Re-examination Procedures

Where the outcome of the Review is b) iii, the following procedures for re-examination shall apply.

New examiners shall be appointed, in number no fewer than on the original Board of Examiners and containing not fewer than two external examiners.

The Board of Examiners shall be given no information about the previous examination except the single fact that it is conducting a re-examination on appeal.

The members of the Board of Examiners shall submit independent reports on the thesis to Research Student Administration before they examine the candidate orally and shall present a joint report or separate reports in accordance with Section 10.2 and 10.4 of the regulations.

The reports of the original Board of Examiners and of the new Board of Examiners shall be presented to the Research Degrees Committee who shall take a final decision. Where the recommendations of the two Boards of Examiners do not agree any agreed recommendation of the new Board would normally be expected to prevail.

Appendix 12 Procedures for the Review of Decisions Regarding Faculty Interim Assessments

Candidates for the Degrees of Master of Philosophy, Doctor of Philosophy

1. Following assessment by the Faculty a candidate whose studies have been discontinued or who is asked to register for a lesser degree by the Board of the Faculty may ask for his/her case to be reviewed.
2. No review will be allowed on grounds of undisclosed personal difficulties prior to examination and assessment.

3. Grounds for Review

Eligible grounds are:

- a) circumstances affecting the student's performance of which the Board of Examiners was not aware when it made its recommendation (subject to point 2 above);
- b) procedural irregularities in the conduct of the examination; and
- c) evidence of prejudice or bias or of inadequate assessment on the part of one or more of the examiners.

4. Request for Review

A student who wishes his/her case to be reviewed shall lodge a written statement with the Head of the Faculty Research Graduate School within one month of the date of the formal notification from the Research Degrees Committee.

The Dean (or appropriate nominee), in consultation with the Head of the Research Graduate School will give initial consideration to all appropriate requests for review submitted in accordance with sections 1 to 3 above. Where it is determined that the review is being sought on the basis of procedural irregularity in the conduct of the assessment and there is clear evidence to indicate that such an irregularity did occur, the Dean may recommend that a new assessment be conducted in accordance with the appropriate regulations. Replacement assessors may be appointed if it is determined that the original assessors have not acted in accordance with the Regulations.

In all other cases, the request will be referred to the Faculty Committee for Research Degree Appeals, which is constituted as follows: Board of Faculty nominee in addition to the Dean (the Board, shall appoint at least biennially a panel of senior academic staff with supervisory experience from amongst whom a nominee will be selected); Head of Research Graduate School; Research Institute Director. The Dean shall act as Chair.

5. Review Process

The Faculty shall give the student ten days' notice in writing of the meeting of the Faculty Committee for Research Degrees Appeals and shall inform him/her that he/she has a right to present his/her case in person and to be accompanied by a member of Ulster University of his/her choice.

The Faculty Committee for Research Degrees Appeals shall consider the request for review presented in writing by the student together with a background report on the case prepared by the Research Graduate School. Reports from the assessors or the Board of the Faculty as appropriate shall be made available to the Committee where this is necessary for the proper consideration of the review. In addition, the assessors shall be informed that a review of the decision has been requested; they shall be invited to submit comments to the Committee in a form that can be made available to the student and shall be informed that, where such comments are not submitted, the student shall be given an unattributed summary of the main points of the report.

6. Recommendation

The Committee having considered the evidence and taken such advice as may be necessary shall:

- a) re-affirm the original decision of the assessors;
- b) recommend to the assessors or the Board of the Faculty as appropriate that, for reasons stated the decision should be reviewed;
- c) give the student permission to revise the report and re-submit for re-examination within a specified time limit;
- d) declare the assessment null and void and direct that a fresh assessment be conducted.

The Faculty Committee for Research Degrees Appeals shall make a formal record of the discussions and recommendations of the Review meeting and report this to the Research Degrees Committee, via Research Student Administration.

Appendix 13 Intellectual Property Rights: Code of Practice

Section A: Intellectual Property Policy

1. Preamble

Ulster University's vision is to be a university with a national and international reputation for excellence, innovation and regional engagement. Staff and students contribute significantly to local and global economic, social and cultural development, through the creation of knowledge and research outputs in the form of Intellectual Property (IP). The University has established this policy to provide professional guidance and support in relation to the protection of IP supported by public or industry sponsored funds with the potential for impact or exploitation. The policy provides a beneficial governance framework for IP management and its commercial exploitation as well as establishing an optimal environment to draw out the value of research outputs. The University encourages all staff and students to engage and contribute in this activity.

Benefits to staff and students who engage in this process include recognition and safeguarding of life-changing discoveries, progression of the University's impact agenda, career development; attraction of industry and sponsored research support; generation of licensing revenue to support further research and development; enhancement the University's reputation and for personal financial gain through University's revenue sharing provisions.

2. Policy Statement

In accordance with the law, the University owns 100% of the intellectual property (IP) created during the performance of the contracted duties of all employees, or assigned to the University by students or other individuals, except where otherwise defined within this policy. The Patents Act 1977 (as amended), the Copyright, Designs and Patents Act 1988, the Registered Designs Act 1949, Regulation on Community Designs (6/2002/EC) and the Copyright and Rights in Databases Regulations 1997 (SI 1997/3032) are several pieces of legislation that, together, also make it clear that IP generated by an employee during the course of his/her normal duties belong to his/her employer. The University will undertake to protect commercially important IP and seek its commercial exploitation for the benefit of the region, the University and its staff and students. Net proceeds from commercialisation will be distributed between the inventor/creator(s) and the University on a fair and equitable basis. This policy is reflective of and designed to help deliver on the core strategic aims of the University's Corporate Plan.

The policy should be read in conjunction with the University's Regulations, Copyright Policy and the Innovator's Handbook. University employees should also refer to their individual Contract of Employment. Staff and students should also refer to the terms and conditions of any agreements or contracts with external sponsors of their research.

This policy constitutes an understanding, which is binding on the University and on the staff and students upon whom it is effective, as a condition for participating in activities of the University or for the use of University funds or facilities. R&I is responsible for the implementation of this policy. Overall responsibility is vested in the Pro Vice Chancellor (Research and Impact).

This policy will be effective from 9th November 2016 ("Effective Date") in place of and superseding all previous versions. It will apply to all IP disclosed to the University on or after the Effective Date, unless otherwise agreed by the University and the inventors/creators of the IP intellectual property.

Further details are available on the R&I website (see <http://oi.ulster.ac.uk/>) and in the Innovator's Handbook (<http://oi.ulster.ac.uk/innovator/index.html>).

3. Definitions

Certain terms are used in this document with specific meanings, as defined in this section. These definitions do not necessarily conform to customary usage.

Affiliate means any other individual who has formal links with the University including, inter alia, a visiting or honorary academic, a visiting postgraduate student or an academic on sabbatical.

Assignment means the transfer of Intellectual Property rights held by one party (the Assignor) to another party (the Assignee).

Consultant means an individual outside of the University who is contracted by the University to carry out professional work.

Department of Research and Impact is a Department of Ulster University which has responsibility for the University's commercial development, liaison with business, knowledge transfer with industry, identifies and protects intellectual assets and explores routes for commercialization of intellectual property capital arising from the University's knowledge and technology base.

Impact means an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia. (REF2014).

Innovation Ulster Limited is the legal entity wholly owned by the University which has responsibility for the management of consultancy, investments, equity holdings and license agreements that relate to start-up businesses and technology transfers.

Intellectual Property (IP) means patents, rights to inventions, trade marks and service marks, trade names and domain names, rights in get-up, rights to goodwill and to sue for passing off and unfair competition, rights in designs, rights in computer software, database rights, rights in confidential information (including know-how and trade secrets), copyright and any other intellectual property rights, in each case whether registered or unregistered and including all applications (and rights to apply) for, and renewals or extensions of, such rights and all similar or equivalent rights or forms of protection which subsist or will subsist, now or in the future, in any part of the world.

Intellectual Property Rights (IPR) refer to specific legal rights which protect the owners of IP from others using it without permission. They can be subdivided into four main categories: patents, copyright, design rights and trade marks rights.

- **Patents** protect any new and inventive product, device, composition or process for up to 20 years from filing a complete patent application. To be patentable, the subject matter must be new, have an inventive step and be capable of use in industry. It must also have "technical character" meaning it must solve a particular technical problem. In Europe and the UK, there are some exclusions from patentability such as ideas, theories, discoveries, thoughts, purely financial, commercial or mathematical methods, games, computer programs, ways of presenting information and methods of treatment, diagnosis or surgery.
- **Copyright** protects any original works such as original literary works (tables or compilations, computer software programs and databases), dramatic works (dance or mime), musical works (music exclusive of any words or actions) and artistic work (graphic works, photographs, sculptures, collages irrespective of artistic quality, works of architecture and works of artistic craftsmanship), sound recordings, films, broadcasts and typographical arrangements of published editions. Copyright arises automatically.
- **Design Rights** generally protect the appearance of a product resulting from the features such as the lines, contours, colours, shape, texture and/or materials of the product or its orientation. Under UK design law, design rights can be formally registered for up to 25 years, giving legal protection against copying the actual design or any design similar in appearance. The design must be new and have individual character. Some designs may also attract automatic design rights which do not require any formal registration. These designs must be original (i.e. not copied) and not common place. They generally protect 3-dimensional aspects of a design product only. These automatic rights can last for up to 10 years from the date of first marketing the design or 15 years from when the design is first recorded in a design document or an article is made to the design.

- **Trade Mark Rights** protect names, logos, jingles, slogans, shapes of goods or packaging. The mark must be capable of being graphically represented and of distinguishing your goods or services from others. Trade marks can be registered for an indefinite period of time. Long term use of unregistered trade marks may also be protected under the UK common law of “Passing off” which protects the goodwill and brand in a business and is used as an alternative remedy to trademark infringement.

Inventor/Creator(s) means any person or persons who create an item of IP.

Other Student means any full-time or part-time taught postgraduate or undergraduate student, regardless of whether the student receives financial support from the University, from outside sources or who is self-funded. This also includes PhD by Published Works, DLitt, DSc, DFA, LLD.

Research Student means any full-time or part-time student undertaking a research degree regardless of whether the student receives financial support from the University, from outside sources or who is self-funded. Under the University’s Regulations the research degree is defined as any of the following: PhD, MRes, MPhil, MD or any other doctoral thesis including Professional Doctorates.

Revenue means any royalty, commission, equity and other payment arising from the licensing of the IP.

Staff means all employees (including full time and part time) contracted by the University and its subsidiary companies (including but not limited to Innovation Ulster Limited and Ulster Educational Partnerships Limited) to perform the duties in the course of their employment as defined by the University Human Resources Department.

University means Ulster University

4. Ownership of Intellectual Property

Unless otherwise agreed in writing and subject to the following provisions and relevant legislation, pursuant to this Policy, it is the University’s intention that ownership of all IP will reside with it.

4.1 Staff

Pursuant to the terms of the staff member’s contract of employment and as a matter of law, IP created by University staff shall be owned by the University if the IP was created in the course of the staff member’s normal or specifically assigned duties.

4.1.1 Course Materials

The copyright in course materials including aids to teaching produced by staff in the course of their employment for the purposes of the curriculum of a course run by the University and produced, used or disseminated by the University belongs to the University. However the copyright in any material produced by staff for their personal use and reference shall belong to that member of staff.

4.1.2 Scholarly Works

The copyright in any work or design compiled, edited or otherwise brought into existence by staff as a scholarly work produced in furtherance of their professional career belongs to staff. ‘Scholarly work’ includes items such as books, contributions to books, articles and conference papers, and shall be construed in the light of the common understanding of the phrase in higher education. However copyright in reports and other material arising from contract research may belong to the University or to a funding body depending on the terms of contract. Subject to these exceptions the University does not claim the copyright in scholarly works written by staff who will be able to transfer to publishers the copyright of items which they have produced.

Provided the copyright in such scholarly works has not been assigned to a publisher and on approval of the staff member, the University reserves the right to use any scholarly works for non-profit academic purposes such as internal administrative, promotional, teaching and research purposes if deemed appropriate subject always to the University’s obligation to respect the moral rights of the staff member in relation to such scholarly works.

4.1.3 Financial & Administrative Materials

All records, documents and other papers (including copies and summaries thereof) which pertain to the finance and administration of the University and which are made by staff in the course of their employment are the property of the University and the copyright in all such original records, documents and papers shall at all times belong to the University.

4.2 Students

4.2.1 Research Students

As a precondition of registration for their research degree, all research students are required, prior to or at the time of enrolment, to sign agreements which will assign, or will oblige them in the future to assign, their rights in any IP arising from their studies to the University. Upon assignment, the University will own all IP developed by research students relating to their studies unless the University has entered into an agreement whereby all or a portion of the rights are owned by an external sponsor.

Should the University not wish to exploit the IP generated during the course of the research degree, all IP shall be reassigned back to the research student by the end of his/her studies upon completion of Form RS17. This is subject to any obligations of confidentiality assumed by the University and/or the research student in relation to the IP.

The copyright of the thesis will be held by the University but will, subject to this Policy, be returned to the research student at the end of his/her studies. Should the copyright in the thesis relate to any potentially exploitable IP which has been disclosed to R&I by the research student and/or research supervisor during or at the end of his/her studies, and the University wishes to exploit such IP, a student Declaration of Confidentiality may be applied to the thesis for a prescribed period to provide sufficient time for the implementation of appropriate intellectual property protection measures. The research student will at all times retain copyright as an author in any papers written in relation to his/her thesis for publication purposes and will be able to transfer to publishers the copyright of such papers which they have produced. This is subject to the research student at all times complying with his/her obligation not to submit any papers for publication which may contain potentially exploitable IP without the prior approval of R&I.

The University reserves the right to retain a copy of the thesis, in written or digital format, in the University Library. The University reserves the right to be granted a non-exclusive royalty free licence by the student for use of his/her thesis for non-profit academic purposes such as internal administrative, promotional, teaching and research purposes if deemed appropriate subject to the University's obligation to respect the moral rights of the research student in relation to such copyright material.

4.2.2 Other Students

Other students own the IP that they create as well as being the inventor/creator(s). Students who create IP under a University project have the opportunity to assign their IP to the University which will then assist in developing and commercializing the IP, if deemed appropriate by R&I.

4.3 Affiliates

Where it is anticipated that IP may arise during the course of activity undertaken by an affiliate of the University, an IP agreement must be executed by all parties prior to the commencement of any work. Such agreement must confirm ownership of IP, proposed route of exploitation and basis of compensation for the University and the inventor/creator(s). Such agreements are negotiated by R&I and not by the affiliate.

4.4 Internally Sponsored Work

Where the University provides funding for particular projects, the University will own any IP arising from the internally sponsored activity.

4.5 Externally Sponsored Work

Where it is anticipated that IP may arise during the course of a collaborative or sponsored project with an external organisation such as industry, other universities, research organisations or government sponsored programmes, an IP agreement must be executed by all parties prior

to the commencement of any work. Such agreements must confirm ownership of IP, proposed routes of exploitation and a basis of compensation for the University and inventor/creator(s). Such agreements are negotiated by R&I and not by individual members of staff or students, though individual staff members or students will have input to advising R&I during negotiations.

4.6 Consultants

Where a consultant is contracted by the University to carry out professional work, any IP created during the course of the work for the University shall belong to the University except in exceptional circumstances to be agreed by the University.

5. Duties of Staff & Students in respect of Intellectual Property

5.1 It is the responsibility of all staff to disclose to the University all potentially exploitable IP created or arising from duties undertaken as part of their University employment. It is also the responsibility of students who are bound under this Policy to disclose all potentially exploitable IP created or arising from their research. Staff and students should disclose the IP by completing an Invention or Creative Work Disclosure Form (downloadable from the R&I website) and submitting it to R&I. Students should contact their supervisor immediately upon creation of any such IP. Please note that when an Invention or Creative Work Disclosure Form is submitted, an inventor or creator who is not an employee is at the same time required to assign ownership of the IP to the University.

5.2 Early conception of exploitable IP may arise prior to submission of grant proposals or applications for research funding. R&I strongly recommends that any staff and/or students applying for such funding which may generate exploitable IP, contact R&I for further advice. Staff and students who are unsure about IP should discuss the matter, as early as possible with R&I.

5.3 It is stressed that complete confidentiality must be maintained prior to disclosure of any exploitable IP to the University, otherwise disclosure through publication or through any other output may jeopardise any subsequent application for IP rights.

5.4 Staff and students should identify any obligations to research sponsors or external bodies in respect of IP. It is also the responsibility of staff and students to provide reasonable assistance throughout the commercialisation process such as providing information in a timely manner upon request, attendance at meetings and engagement with potential partners, collaborators or licensees.

6. Compliance

Ulster University asks that all staff and students comply with the IP Policy and Procedures in order to protect University interests. Failure to comply with this Policy may constitute a disciplinary offence under the University's Statutes and Ordinances. For the avoidance of doubt the University is under no obligation to protect or exploit IP.

Section B: Intellectual Property Procedures

1. The Role of the Department of Research and Impact

The role of R&I is to identify, protect and translate Ulster's knowledge and research outputs effectively into marketable products and services. To this end, we have adopted a six-step Stage Gate process to help identify the most promising IP and prioritise the University's resources to protect, develop and commercialise it, either through licenses or royalties involving new or existing businesses. This process varies in length from months to many years. The Innovator's Handbook describes this process in greater detail along with the types of support that R&I can provide. Assistance will also be given to

undergraduate students who own their own IP, subject to an agreement between the parties that the University may receive an appropriate share or revenue derived from the commercialisation of the IP.

On behalf of Innovation Ulster Limited (IUL), R&I will also manage the required additional commercial or technical development of the IP and engage / negotiate with potential commercial partners to ensure optimal commercial exploitation and maximum return to the University and inventor/ creator(s).

2. Confidentiality and Legal Agreements

2.1 Staff and students are expected to take all steps reasonably necessary to maintain confidentiality of any potentially exploitable IP and prevent public disclosure of any invention or creative work arising from their employment and/or academic duties until approved to do so by R&I. Documents containing confidential information should be marked as “Confidential” where possible. As it is in the best interests of the University to publish academic research, R&I shall make all reasonable endeavours not to delay publication more than is necessary to ensure protection of IP therein.

2.2 R&I can advise staff and students on all requirements relating to confidentiality and provide relevant agreements as required. Staff and students must comply with the terms of all legal agreements which are in place with any third party organisations. Should any third party organisation supply a Confidentiality Agreement, Material Transfer Agreement or any other type of legal agreement directly to a member of staff or student said agreement should be forwarded to R&I for review and signature.

2.3 All legal agreements between the University and a third party must be signed only by an authorised signatory of the University. Details of authorised signatories can be obtained from the IP Manager. Staff and students shall not:

- 2.3.1 Sign agreements or other legal documents (e.g., confidentiality agreements, material transfer agreements, memorandum of understanding agreements, licenses, patent assignments) or take any other action on behalf of the University unless they are authorized signatories of the University; and/or
- 2.3.2 Sign agreements or other legal documents that retract any rights of the University; and/or
- 2.3.3 Transfer material relating to IP to third party organisations, except pursuant to an authorized Material Transfer Agreement.

2.4 Where a member of staff or student takes such an action, the University can not be held responsible for any obligations under that action or agreement. In such circumstances, such individuals may be held personally liable for such actions may be asked to sign a Waiver to this effect.

3. Invention/Creative Work Disclosure Process

3.1 Staff and students must disclose new potentially exploitable IP prior to any public disclosure, by completing an Invention or Creative Work Disclosure Form and submitting a signed copy to the R&I. Following receipt of the Invention or Creative Work Disclosure Form, R&I will initially appraise the IP for patentability or other protectable means, following which protection of the IP may be initiated if appropriate.

3.2 Staff and students making an IP disclosure should:

- i. Provide a detailed account of information regarding technical and other aspects of the invention or creative work. This may also include pre-publication/draft manuscripts, lab book records, details of processes/specifications, software code, pre-submission abstracts, presentations, prototypes etc.

Staff and students who generate IP should keep clear and accurate dated records which are easily accessible and retrievable.

ii. Identify the inventor/creator

Under the UK Patents Act 1977, an inventor is a person who takes part in the conception of the ideas in the patent claims of a patent application. The inventor may be determined by an individual who:

- a) Conceived the initial ideas of the research which led to the invention;
- b) Devised experiments/materials/processes/product which form the basis of the patent application;
- c) Carried out any experiments/processes described within the patent application and which required initiative and intellectual/technical input to complete;
- d) Interpreted the information/data disclosed in the patent application, particularly if the information/data was unexpected or its implications were unclear.

As a further guideline, the following individuals would most likely **NOT** be considered as an inventor: a) an individual who carried out work under instruction which took no initiative or required no modifications, regardless of skill and effort; b) an individual who funded but did not contribute technically to the invention; c) an individual whose facilities were used in the research, or who published earlier relevant work, or who contributed very general work or assistance; d) an individual who has been a project manager or supervisor but did not contribute technically to the invention.

NB: The criteria for deciding who should be considered an inventor are different to those for determining authorship of a scientific research paper. Unlike authorship in a research publication, there is no significance in the order that the names are published in a patent application.

In relation to a creative work, the creator is the person who creates the work.

- iii. Ensure that the percentage contribution of each inventor/creator is clearly stated on the disclosure form and that each inventor/creator has signed the form. This is important as the revenue sharing from the exploitation of IP shall be distributed to the inventor/creator(s) according to the percentage stated on the disclosure form. Note that R&I is not responsible for deciding upon contribution shares of inventor/creator(s). Should any inventor/creator(s) feel aggrieved by the share apportioned to them and the matter can not be resolved amongst the contributing inventors/creators, the matter may be referred to the Director of Research and Impact who will make a final decision.
- iv. Offer initial evidence, if any, of commercial interest such as expressions of interest from companies and on an on-going basis, submit to R&I any further information they may request at any stage of the procedure.

Note: Invention or Creative Work Disclosure Forms are available to download at <http://oi.ulster.ac.uk/>.

4. Invention/Creative Work Assessment Process

Before R&I invest in IP protection, an invention/creative work should meet certain criteria primarily that it is a novel, commercial idea where there is both a need and profitable market with a beneficial impact to society. Other criteria include having both a positive preliminary IP opinion and promising market assessment. Should R&I consider that the IP meets these criteria, it will then seek to protect the relevant IP generated by staff or students by patenting or other relevant methods of protection.

- 4.1 R&I, in conjunction with expert advice, from patent attorneys, professional advisors, marketing consultants or other bodies, will decide, as expeditiously as possible, whether to recommend that:

- i. the invention/creative work is presented to a patent attorney for an initial patent opinion;
- ii. further development of the invention/creative work be undertaken prior to filing for Intellectual Property Rights; Where the disclosed IP is deemed by R&I to have some potential for commercialisation but to be at a pre-commercial stage the University will retain its interest and the disclosed IP may be developed through research channels to a point where it is suitable for re-evaluation for IP protection and commercial development at a later stage.
- iii. the University proceeds to the filing of a patent application or other form of IP registration;
- iv. negotiations with a strategic partner who can provide expertise and resources needed to take the invention/creative work further down the development pipeline and ultimately closer to market. A variety of mechanisms are used to provide for the further development of invention/creative works such as collaborative research projects which involve co-development, sponsored Research & Development, contract research and/or consultancy.
- v. an application for Intellectual Property Rights should not be undertaken as the invention/creative work does not meet the criteria.

4.2 In reaching its decision R&I will consider all evidence submitted by the inventor/creator(s) and any other advisors from whom advice has been sought, and will inform the inventor/creator(s) of the outcome as required. Reports will be made quarterly to the Board of Innovation Ulster Limited, the University's Research & Impact Committee and the Senior Executive Team.

4.3 Where R&I does not consider the IP meets the appropriate criteria, the inventor/creator(s) shall be notified of this decision. The inventor/creator(s) may, upon written request seek assignment from the University. Such assignment should be completed within 1 month from the date of request or as soon as reasonably possible. Thus, the inventor/creator(s) will be at liberty to protect and/or exploit the IP as he or she wishes outside of any contractual relationship he or she may have with the University, subject to the interests of third parties. The University reserves the right to be granted a non-exclusive royalty-free irrevocable, worldwide licence for use of such IP by the University for non-profit academic purposes such as internal administrative, promotional, teaching and research purposes.

4. Exploitation of Intellectual Property

5.1 Once IP protection has commenced, R&I will assess the commercial potential of and endeavour to exploit the IP commercially. Exploitation may take various forms including joint collaborations or contract research arrangement with a company or other third party organisation to develop the IP further, exclusive or non-exclusive licensing, assignment, new company formation or a joint venture company.

5.2 R&I, in frequent consultation with the inventor/creator(s) will manage the IP and will meet regularly to review the commercialisation progress. R&I will utilise all relevant resources and platforms to promote Ulster IP to as wide an audience as possible. This may include short-term evaluation agreements to allow potential licensees to develop commercialisation plans and/or raise sufficient capital to full commercially exploit the IP.

5.3 In advance of investment in, licencing or sale of IP, the University's R&I will assign that IP to Innovation Ulster Limited (IUL) which has sole responsibility for the commercialisation of Ulster's intellectual property portfolio, management and negotiations of equity holdings and license agreements that relate to start-up businesses and technology transfers. The inventors/creator(s) of such IP shall be informed of the progress of such negotiations with a potential licensee or assignee prior to a final decision being made by IUL. They shall also be provided with an outline of the terms upon which a potential deal is based. Should the inventors/creator(s) disagree with the terms of any negotiations or proposed deal they shall have the right to appeal through the procedure for dealing with disputes (Clause 8). IUL shall not conclude any negotiations with any third party for a period of 30 days from the initiation of any appeal by inventors / creators. IUL shall reserve the right to conclude any negotiations or deal with a third party after this appeal period expires.

- 5.4** R&I reserves the right to discontinue support for any protection of IP at any time. In such cases the inventor/creator(s) will be notified of this decision and provided with a sound basis for the decision. Examples of reasons for discontinuing support may include limited market potential, the existence of superior IP or barriers to IP adoption. Subject to any obligations under specific agreements with joint IP owners, collaborators or sponsors, the IP may be offered back to the inventor/creator(s) for assignment prior to any further legal action required to maintain IP protection. Upon written request from the inventors/creator(s) that he or she wishes to seek assignment from the University and upon terms and conditions to be agreed, an assignment will be put in place transferring all University's right, title and interest in such IP to the inventor/creator(s). Upon completion, the inventor/creator(s) will be at liberty to protect and/or exploit the IP as he or she wishes outside of any contractual relationship he or she may have with the University and subject to the interests of third parties. The University reserves the right to be granted a non-exclusive royalty-free irrevocable, worldwide licence for use of such IP by the University for non-profit academic purposes such as internal administrative, promotional, teaching and research purposes.
- 5.5** On occasion IP disclosed by inventors / creators may, for various reasons, not have significant market or commercial potential. In some cases the IP may still hold significant value for companies or other organisations. The University wants to see it's intellectual capital benefit the economy or society in as many ways and as widely as possible. To this end R&I reserves the right (through IUL) to offer IP for free to companies or organisation who may be able to utilise it for public good. Non-exclusive and exclusive licence agreements are simple and straightforward means for implementing this and can be accessed online, completed and approved in a very short period of time. R&I will utilise various technology platforms and marketing to promote such access to the public.

5. Revenue Sharing from Exploitation of Intellectual Property

Should Innovation Ulster Limited successfully licence IP, this will result in the University receiving a revenue stream from the licensee. Such revenue may be received as an upfront lump sum or as royalty payments received over an agreed term.

6.1 Licences for Royalties

Where the IP is licensed to a third party, Innovation Ulster Limited will be responsible for negotiating and securing the most profitable commercial arrangement available. Revenue generated through licenses will be distributed as follows:

Costs incurred by R&I and Innovation Ulster Limited in supporting and protecting any IP being licensed may include patent searches, IP applications, prosecution and defence of IP, professional/legal fees for advice, non-recoverable development costs, marketing costs and any other cost which is deemed by the University to be necessary to the successful commercialisation of the IP including overheads.

Following the deduction of these costs the net annual revenue will be distributed as follows for any one particular deal:

<i>Net Revenue</i>	<i>Inventor/Creator(s)</i>	<i>Research Institute/ Research Centre/School*</i>	<i>Innovation Ulster Ltd</i>
≤£25,000	50%	30%	20%
>£25,000	33%	34%	33%

* Net Revenue will be proportionately awarded to the relevant Research Institute, Research Centre or School of which the inventor/creator(s) of the IP is affiliated. The inventor/creator(s) should propose the distribution of net revenue with agreement from the relevant Dean.

Deducted costs shall be reasonable and fair and shall be properly disclosed.

6.2 Considerations for Non-Inventors/Creators

Special consideration may be given to any individual who has contributed effort, skill, advice or other invaluable assistance to making and/or developing the invention/creative work jointly with the inventor/creator(s) but who is not a joint inventor/creator (defined herein as a “non-inventor/creator”). Such cases must be presented to the Board of Innovation Ulster Limited by the lead inventor/creator(s) and/or relevant Head of the Research Institute, Research Centre or School to which the non-inventor/creator is affiliated. Each case will be assessed by the Board and the non-inventor/creator(s) shall be considered for receiving a share in the Net Revenue income.

It is expected that any share approved for distribution to one or more non-inventor/creator will come from the inventor/creator’s share of Net Revenue income. An IP sharing memorandum shall be prepared for approval by all of the inventors/creators.

6.3 Licences for Equity

Where the IP is licensed to a third party in return for equity, Innovation Ulster Limited will be responsible for negotiating and securing the most beneficial commercial arrangement available, on a case-by-case basis. Innovation Ulster Limited will retain the equity in accordance with the company’s Investment Policy.

6.4 Assignment

Where the IP is to be assigned to a third party, Innovation Ulster Limited will negotiate mutually beneficial and acceptable commercial arrangements on a case by case basis.

6.5 Disposal of Equity / Liquidation of Assets

Where equity held by a third party is released by Innovation Ulster Limited due to liquidation of assets, the Net Revenue will be distributed on the following basis:

Research Institute/ Research Centre/ School	66%
Innovation Ulster Limited	34%

No allocation of an equity share shall be made to an inventor/creator as it is understood that he / she has benefited, and will continue to benefit, from the original IP agreement. However, if the inventor/creator has not received any benefit from the original IP agreement, or received any equity, then the revenue from release of the equity will be treated as per Section 6.1.

7. Conflicts of Interest

The University wishes to avoid any actual or perceived conflict of interest in handling its IP. Such conflicts of interest may happen in relation to issues relating to agreements and contracts with third party organisations. One example of such an issue is where a staff member or student has an interest in a third party that enters into a contract with the University. Therefore any individual who considers that an action may lead to an actual or perceived conflict of interest, should promptly declare the circumstances of such actual or perceived conflict of interest to the Director of Research and Impact who shall appropriate steps to resolve the issue.

8. Resolution of Disputes

Any question of interpretation or claim arising out of or relating to this policy concerning ownership, protection, exploitation, licence and sale negotiations, and abandonment of IP shall be referred to the Director of Research and Impact in the first instance. Should the dispute not be resolved, it the following course of action can be taken:

- i. The issue must first be submitted to the Pro-Vice Chancellor for Research and Impact in the form of a letter setting forth the grievance or issue to be resolved.
- ii. The Pro-Vice Chancellor of Research and Impact will seek to provide arbitration by convening a group consisting of all or some of the following: the relevant Dean, relevant Head of School / Director of Department / Director of Research Institute, a R&I representative, an IUL representative, and an IP lawyer, as required.
- iii. If any of the parties to the dispute is not satisfied with the decision of this group, an application may be made to the University Visitor or the party may seek binding arbitration from an independent UK registered IP lawyer.

9. Other

9.1 Leaving Employment of University

In the case where termination of employment occurs, this will not affect an inventor/creator's right to receive revenue share.

9.2 Change of Address

Each inventor/creator who is entitled to revenue payments under the University's revenue sharing arrangements must notify the University in writing or email of any change of address. Such notice should be directed to the IP Manager. An inventor/creator who has left employment or is no longer a student at the University must ensure that the University is notified in writing at all times of his or her current address to where any revenue payments due to him or her may be sent. If the University is not given current address details, then all unclaimed revenue payments for the missing inventor/creator may be invested in an account until such revenue payments are claimed. Should any revenue payments remain unclaimed for 5 years from the date the revenue is received by the University, the revenue shall revert to the University, which will distribute such revenue payments plus any interest accrued back to the Faculty from which the IP was originated.

9.3 Death

In the case of death of an inventor/creator who is due revenue payments, such revenue payments will be payable to the estate of the deceased.

10. Review of Policy

This revised Intellectual Property Policy & Procedures is effective from 9th November 2015 and may be amended and or modified from time to time to reflect good University practice and changes in the law. This policy will be reviewed by the end of 2018/19 academic year.

References

Please note the above information relating to identification of inventors (Section B, 3.4 ii) has been provided by Mewburn Ellis LLP Patent & Trade Mark Attorneys.

Appendix 14 Health and Safety and Fieldwork Approval Procedures

Extracts from the University Policy Statement Relating to Health and Safety in the Supervision of Students

2.4 General Responsibilities of Students

- 2.4.1 All students are expected to keep themselves reasonably informed through the information and instruction provided by the University of the health and safety issues which are relevant to their activities.
- 2.4.2 Each student whilst involved in University activities, on University premises or elsewhere must:
- take reasonable care for the health and safety of themselves and of other persons who may be affected by their acts or omissions
 - co-operate with the University in the implementation of the health and safety policy including following health and safety instructions given by members of staff
 - not to intentionally or recklessly interfere with or misuse anything provided in the interests of health, safety or welfare in pursuance of any of the relevant statutory provisions
 - not, without the consent of the member of staff in charge of the area or activity, introduce any equipment for use on University premises, alter any fixed installations, alter or remove health and safety notices or equipment, or otherwise take any action which may create hazards for employees of the University or for other persons using the premises.

Supervisors are advised that they should be familiar with the University's guidance notes relating to Health and Safety in the supervision of students.

Higher-Risk Fieldwork Approval Procedures – PhD students

1. Any proposed fieldwork involving activity which is potentially dangerous (for political, societal or geographical reasons), involves research into illegal activities or which will take place in a country which has been determined to be unsafe by the FCO or is known to be in a state of high volatility and under monitoring by the FCO, must be approved in advance by the Head of Research Graduate School and, where appropriate (ie, studies involving human participants), UREC or other appropriate ethics committee.
2. For all such studies:
 - i. reference must be made to the University's fieldwork policy and procedures
<http://www.ulster.ac.uk/hr/healthandsafety/Procedures/fieldwork.pdf>
and a compliance statement provided by the CI/supervisor indicating that appropriate contingency plans and resources are in place, including in-country support where available, routine and emergency contact protocols, an emergency exit strategy (including, where appropriate, confirmation of access to funds) letters of approval/permission and other necessary documentation;
 - ii. a statement must be obtained by the HoRGS from Finance, indicating that cover is provided under the University's current insurance policies;

- iii. a risk assessment must be completed indicating all likely risks and how these have been addressed/mitigated (this should include consideration of travel, accommodation, personal safety, lone working, equipment/clothing, first aid/ medical and other arrangements);
 - iv. an RS7 must be completed and submitted, accompanied by the above documentation; and
 - v. the student is responsible for obtaining travel permits/visas and immunisations required by/for the country to which they are travelling.
3. Where the study involves access to human participants, review by an appropriate filter committee and/or UREC (or appropriate ethics committee in the country concerned) must also be undertaken via the normal application process. The application must be accompanied by the risk assessment, the compliance statement, confirmation of insurance and the RS7 referred to above. Notification of the ethical opinion will be communicated to the researcher who should then provide it to the HoRGS.
 4. The process of consideration for approval or otherwise should include the above and also take account of the urgency, novelty, value and likely impact of the research; it is not the University's intention to delay unnecessarily or stop valuable and ethically-approved research, but risks to individuals and the institution must be weighed carefully.
 5. Written confirmation of approval must be provided by the HoRGS before any travel takes place.
 6. If approval is not provided, reasons should be given.
 7. If a student chooses to travel when approval has been declined, he or she does so at his or her own risk and might, additionally, be subject to disciplinary action.
 8. If the FCO advisory status for any destination should change while the research is being undertaken, advice will be sought from the University's insurer and other organisations as appropriate. If necessary, researchers will be requested to reapply for approval to remain in the country concerned or return to the UK pending a review of the situation.
 9. The University's normal insurance limitations will apply and all travel arrangements must be made in accordance with approved procedures.
 10. Following the return of the student concerned, a review of the activities and suitability of arrangements should be undertaken, and any adverse events reported and actioned appropriately using form RG5.

Appendix 15

Awards Available for Home Students

Applicants who have been ordinarily resident in the United Kingdom, and in some cases, other European Union member states for the three years immediately preceding their application are eligible to be considered for the following awards:

DfE (Department for the Economy)

These awards are open to holders of, or those anticipating, first or upper second class honours degrees and cover fees at the home rate and, for applicants with UK residence only, a maintenance allowance. Non UK residents who hold ordinary EU residence may also apply but if successful will receive fees only. Applicants should indicate in the appropriate box on their University application form that they wish to apply for a DfE award. Online applications must be submitted by the specified date.

DfE CAST Awards (Co-operative Awards in Science and Technology)

These awards are based upon approved projects, including an element of industrial collaboration, which are advertised in the press; applicants must be able to demonstrate that their qualifications and experience are closely related to the project descriptions. Open to holders of, or those anticipating, first or upper second class honours degrees, these awards cover the payment of fees at the home rate and an enhanced maintenance award (UK resident only) plus a contribution from the collaborating organisation. Online applications must be submitted by the specified date.

University Studentships/Vice-Chancellor's Research Studentships (VCRS)

From time to time the University makes funding available to support University Studentships. These awards are open to applicants who hold or expect to gain a first or upper second class honours degree and provide for payment of fees and maintenance allowance. Those wishing to be considered for these awards should mark their application form accordingly. Online applications must be submitted by the specified date.

HSC R&D Division, Public Health Agency

It is anticipated that the Research & Development Office of the Health & Social Care (HSC) in

Northern Ireland will make available full and part-time studentships and fellowships for those working in, or interested in a career with, the health and personal social services. All opportunities will be advertised in the local media.

DARD Postgraduate Studentships

The Department of Agriculture and Rural Development for Northern Ireland offers a limited number of postgraduate studentships. Funding is provided for full-time students only. Full details of how to apply for funding is now available on the DARD web site to download.

North-South Scholarships 2016

2015 North/South Postgraduate Scholarships. The aim is to encourage outstanding students to undertake postgraduate study and experience life in the other Irish jurisdiction.

Universities Ireland is offering 3 scholarships to students undertaking a recognised Master's Degree or the first year of a PhD programme (taught or research) in the other Irish jurisdiction.

<http://www.universitiesireland.ie/>

Other Awards

Occasionally other awards will become available although these will almost always be linked to specific disciplines. Information on such awards will be available from Research Student Administration as and when details are provided by the awarding bodies (<http://www.ulster.ac.uk/research>).

Appendix 16 Awards Available To Overseas Students

Research Awards

International applicants wishing to undertake a research degree at Ulster University may apply for the following awards.

University Studentships/Vice-Chancellor's Research Studentships (VCRS)

From time to time the University makes funding available to support University Studentships. These awards are open to applicants who hold or expect to gain a first or upper second class honours degree and provide for payment of fees and a fixed-rate maintenance allowance. Applications are invited from UK, European Union and overseas students. Those wishing to be considered for these awards should mark their application form accordingly. Online applications must be submitted by the specified date.

The British Council

The British Council has a network of offices worldwide and applicants should contact their local office to see what awards are available.

Details of British Council offices around the world can be found at: <http://www.britishcouncil.org/new/>

British Council Fellowship Programme

This scheme is aimed at key professions in fields which the Council considers particularly important in the country concerned. Council Fellowships programmes provide 900 awards annually. Fellowships are offered in most of the 100 countries in which the Council operates.

The eligible subjects are determined by the British Council Director in the applicant's home country. The awards can be for periods up to three years to cater for Doctoral research students.

The level and conditions of award are set by the British Council in each country. Awards can include fares to and from Britain, tuition, living expenses, and allowances for books, clothing and approved travel within the United Kingdom. Applications should be made to the British Council Director in the country concerned.

British Marshall Scholarships

The scheme was set up by an Act of Parliament as a practical expression of the British peoples' appreciation of the aid given by the United States under the Marshall Plan.

To qualify for 2016 awards, candidates should:

- be citizens of the United States of America (at the time they apply for a scholarship);
- (by the time they take up their scholarship i.e. September 2016) hold their **first** undergraduate degree from an accredited four-year college or university in the United States;
- have obtained a grade point average of not less than 3.7 (or A-) on their undergraduate degree. (Exceptions are rarely considered and only on the specific recommendation of the sponsoring college.)
- have graduated from their **first** undergraduate college or university after April 2013.
- **not** have studied for, or hold a degree or degree-equivalent qualification from a British University or GCSE or A level qualifications undertaken in the UK.

Candidates are only allowed to apply for either the one year or the two year Marshall Scholarship. Any candidate found applying for both will automatically be disqualified.

Further information from the Commission's secretariat at the Association of Commonwealth Universities or regional centre in the USA. <http://www.marshallscholarship.org/>

International Agencies

Some international organizations such as UNESCO and WHO operate schemes, usually for developing countries. Details should be available from the Ministry of Education in the applicant's own country.

Appendix 17

The PhD with practice at Ulster University

Introduction

The PhD at Ulster University can take the form of either a standard thesis-based PhD or it can incorporate an element of practice. What follows is some additional guidance on what a practice-based PhD at this University consists of and must be read in conjunction with the general regulations for PhD and the 'Guidelines for PhD submissions involving practice' in our Research Handbook.²

The understanding of a PhD with practice is based on the principle of 'practice as research (PaR)' according to which practice is regarded as a 'methodological process of research inquiry and a mode of dissemination of research in its own right'.³

Thus, creative or performance practice on its own, irrespective of the quality and standard which it demonstrates, will not be admissible for the award of PhD.

The practical element must be accompanied and complemented by written documentation the purpose of which is to:

- provide a critical review of existing literature and practice relevant to the project
- contextualise the practical component within this existing area of theory and practice
- establish a clear research question
- demonstrate an appropriate practice methodology
- critically evaluate the research findings

Practice-based research within the University

Practice-based research is integral to much of the research carried out in the University but it is particularly prominent in the Faculty of Arts and the Faculty of Art, Design and the Built Environment. Here the practice can range from all areas of Design, Applied and Fine Arts to creative writing, media technology, photography, musical composition and performance. Each Faculty can provide further guidance on the exact nature and scope of the practice element within a practice-based PhD project. Details of current practice-based projects in both Faculties can be accessed on their Research Graduate School websites.

Recruitment and Admission

The nature of the substantial practical work must be specified in the proposal for the PhD with practice doctorate.

Applicants for admission to undertake a PhD with practice must be able to provide evidence of the requisite skills, knowledge and experience to enable them to carry out the project or the capacity to acquire them to the appropriate standard within the scope of the project.

Applicants must indicate as part of the project proposal an outline of the balance of the elements that will make up the final submission. Any assessment of the project proposal should take account of the facilities and resources required and ensure the award is possible on the basis of the outcomes proposed and resources available.

Review and monitoring

As with all research programmes, practice-based PhD projects at Ulster University are subject to rigorous scrutiny and regular monitoring. In particular the relationship between the practical component and the written commentary must be approved at the recruitment stage and reviewed at subsequent

² See Regulations for the Degree of Doctor of Philosophy (PhD) and Associated Rules and Guideline. Research Handbook, Appendix 2.

³ Robin Nelson (MMU) and Stuart Andrews (PALATINE) 'Practice as Research: Regulations, Protocols and Guidelines' <http://78.158.56.101/archive/palatine/development-awards/337/index.html>

stages such as the Initial Assessment of Progress (three to four months after registration) and the Confirmation of Registration at the end of year one. At Confirmation stage, a practice element will be a mandatory submission requirement. This could be a contained performance, a small installation or a concept to demonstrate practice. The student will be required to demonstrate the ability to contextualise and justify the proposed practice through the written analysis.

Resources

The provision of appropriate resources for any practice-based PhD project must be agreed at the admission stage and will be reviewed as part of the routine assessment processes in year one (Initial Assessment Viva and Confirmation Viva). At the Confirmation stage there must be a formal agreement of the resources available to undertake any project.

Supervision

The supervisory team will include staff with relevant experience in a field cognate with the practical work. Their role will be to guide the candidate in the development of the project, ensuring that the practice is research-led and also ensuring that there is a close intellectual relationship between the research-led practical work and the written submission.

What you submit

A PhD with practice submission will consist of a practice element, where appropriate supported by documentation, and a written commentary as outlined in the Introduction (above). It should also indicate the project's originality and contribution to the discipline or interdisciplinary field.

A practice-based PhD submission must meet the established generic criteria of 'making a contribution to knowledge' or 'affording substantial new insights'.

The relationship between the practice and the written element of the submission will have been agreed in advance of any final submission, normally at the Confirmation viva, and certainly no later than the end of year two.

In constructing this agreement, it will be agreed by all parties what elements of practice are to be directly experienced by the examining team (and, if applicable, what practice events will not be directly experienced). This agreement will be recorded by means of a separate RS form (RS6b).

All submissions must provide a retainable record of the practical component, stored in a way that makes it accessible and retrievable (e.g. in the form of photographs, scores, drawings, CD-ROM, DVD or other recorded material).

The written documentation and the practical component of your PhD will together form 100% of the examined submission and both are of importance in pursuing the research question. The written documentation for PhDs that include a practical component will be within the range of 20,000 to 60,000 words. Individual faculties may set specific limits within this range depending on the nature of the practical component.

Assessment

The assessment of the PhD with Practice is exclusively on the basis of the thesis, including practice, and a viva voce.

Arrangements will be made for the practical component to be considered by the Examiners and the practical component must be accessible to the Examiners prior to the oral examination.

PhDs involving live practice

In those cases where the PhD project involves live practice, normally the Examiners will experience that live practice. This may mean appointing the Board of Examiners at an earlier stage, in advance of the final submission. Such witnessing of the practical component is not, however, part of the formal

assessment of the PhD. This must be done solely on the basis of the submission, i.e. the written thesis and the practical component presented in retainable form. There should be no formal contact between any examiner and a candidate on the occasion of a practice event that will form part of the final submission, nor will examiners attending practice events offer comment to the candidate or the supervisors, following the experience of a practice event. It is important that appropriate attention is given to the documentation of practice as a record of the project making it accessible to future scholars. Normally, this should be agreed through the confirmation process.

Appendix 18

POCVA Procedures for Research Students

Preamble

Under certain circumstances it will be necessary for a research student to obtain clearance from the Protection of Children and Vulnerable Adults (POCVA). This is likely to be the case only where the student will be required to work in close contact with a vulnerable group such as children, the mentally handicapped or categories of elderly people. The POCVA check is intended to reassure the University and the authority responsible for the welfare of the subject group that the researcher has nothing in his or her background that could suggest a risk to the subjects.

The process will operate as follows:

1. The applicant's nominated supervisor, Head of School and Head of RGS will be asked to consider when completing the RS2 (admission) form whether or not a POCVA check is likely to be required for the student and the programme of study being undertaken.
2. Where there is no perceived need for a POCVA check to be undertaken, or where the applicant's employment or previous study means that a check will already have been carried out, no further action will be taken at this stage (although this will be subject to review – see 7 below).
3. Should the need for a POCVA check be identified, the applicant will be notified (all applicants will already have completed a section in their application form authorising the University to carry out a check where appropriate).
4. The Faculty, through an appropriate authorised signatory for this process, will write to the POCVA agency disclosing the applicant's details and requesting that the check be carried out.
5. If the check discloses nothing of concern in the applicant's background, the outcome will be communicated to the student and to the authority responsible for the welfare of the subject group.
6. If the check reveals cause for concern in the applicant's background, Research Student Administration will write directly to the applicant notifying him/her of the outcome. The applicant may choose to query the outcome of the check with the agency (if appropriate) or withdraw his/her application for admission.
7. In the case of a registered student in an appropriate subject area, the position will be reviewed at the first assessment of progress and again at the Confirmation of Registration Status stage. If a POCVA check is required it will be carried out in accordance with these procedures. If the check reveals cause for concern, the student may be required to withdraw from his or her studies.

Appendix 19

Code of Practice for Professional Integrity in the Conduct of Research

1. Introduction

- 1.1 The University expects the highest standards of integrity to be adhered to by its researchers. Under this *Code of Practice* the term 'researcher' applies to all staff and students involved in the research process.
- 1.2 The University seeks to promote and promulgate good research practice, emphasising integrity and rigour in research, and to create a culture in which the following general principles and procedures can be observed.
- 1.3 A short course, *Research Integrity*, is available online via Blackboard and it is expected that all staff and students involved in the research process will complete it successfully.

2. Integrity in the conduct of research

- 2.1 Researchers should be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research work, including experimental design, generating and analysing data, applying for funding, publishing results, and properly acknowledging the direct and indirect contribution of colleagues, research students, collaborators and others.
- 2.2 All researchers must refrain from plagiarism, deception or the fabrication or falsification of results or any other action that could be interpreted as research misconduct.
- 2.3 Researchers are encouraged to report cases of suspected misconduct and to do so in a responsible and appropriate manner, in line with the University's Procedure for the Investigation of Allegations of Research Misconduct.

https://www.ulster.ac.uk/__data/assets/pdf_file/0005/75641/ResearchMisconduct.pdf
- 2.4 Researchers should identify, declare and manage any real or potential conflict of interest whether legal, ethical, moral, financial, personal or of any other nature, so that it does not become a complicating or actionable issue.

3. Integrity in managing and carrying out research projects

- 3.1 Researchers should take all reasonable measures to ensure they meet funder, sponsor, institutional, legal, ethical and moral obligations in managing and carrying out projects.
- 3.2 Researchers are expected to familiarise themselves with the terms and conditions of any research contract or agreement entered into by the University on their behalf.
- 3.3 Researchers should follow established University financial procedures for expenditure.
- 3.4 The principal or chief investigator with overall responsibility for an individual research programme should ensure that it runs within its allocated budget, and ensure that no penalties are incurred by failure to meet the funder or sponsor's requirements, eg: submission of reports according to schedule.
- 3.5 Where research is carried out in association with any part of the DHSSPS (NI) or of the DoH in Great Britain, the person with overall responsibility for the research programme must ensure that the full agreement of the DHSSPS (NI)/DoH organisation has been obtained in accordance with their current research governance obligations.

http://www.research.hscni.net/sites/default/files/research_governance_framework_0.pdf

4. Guidance from Professional Bodies

- 4.1 The University expects researchers to observe the standards of research practice set out in guidelines published by scientific and learned societies in their disciplines and by other relevant professional bodies. References and web-addresses for a range of guidelines from professional bodies are included in the Appendix.
- 4.2 All researchers must familiarise themselves with the legal requirements which regulate their work. Researchers are expected to take steps to stay informed of governmental, institutional and any other regulations, standards or policies in proposing, conducting and reporting research.

5. Leadership and Co-operation

- 5.1 A research community free of discrimination should be promoted and encouraged in line with legislation and the University's policies on equality.
- <http://www.ulster.ac.uk/secretary/policyimplementation/equality.html>
- 5.2 Senior academic and research staff should ensure that a research climate of mutual co-operation is created in which all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered.
- 5.3 In line with the principles set out in the Research Concordat, good practice should include mentoring of young, less senior and inexperienced researchers as a mechanism for the development of research activity.

6. Supervision of Research Students

- 6.1 The supervision of research students must be carried out as described in the appropriate *Regulations* and associated guidance as set out in the University's *Statutes and Ordinances* and the *Research Studies Handbook*.
- https://www.ulster.ac.uk/__data/assets/pdf_file/0014/71501/Handbook.pdf
- 6.2 It is expected that supervisors of research students will supervise all stages of the research process, including outlining or drawing up a hypothesis, protocol design, data recording, data analysis, preparation of manuscripts for submission and publication, reading drafts of chapters and commenting on these in detail both in writing and verbally and the presentation of research output.
- 6.3 Experienced members of staff must ensure that those who are less experienced have an opportunity to gain supervisory practice and that their contribution to supervision is formally acknowledged.
- 6.4 Where there is a conflict of interest between a student and his/her supervisor, the code of practice in the Research Studies Handbook should be followed.
- 6.5 Supervisors of research students are expected to undertake training appropriate to their role, in line with the requirements of the University.

- 6.6 Where an individual's record of supervision is poor or where his or her students have regularly failed to submit or complete, the University will consider barring that individual from further supervision.
- 6.7 Research students must provide their supervisors with all files of raw data, appropriately labelled, before submission of the thesis.

7. Training and Mentoring

- 7.1 Responsibility for ensuring that students and other new researchers understand good research practice lies with all members of the research community, but particularly with Research Institute Directors, Heads of Schools (including Heads of Research Graduate Schools), Research Group leaders, grantholders, supervisors and principal or chief investigators (to avoid confusion, this term is as used on externally-funded research projects to designate the first - or lead - applicant in a list of applicants in the project proposal). It is expected that the principal or chief investigator will be the line manager of staff employed under a grant and will have overall responsibility for the design, conduct and reporting of the study to the funder and/or sponsor. Staff not employed on an externally-funded research grant or contract should have a formally designated line manager.
- 7.2 All researchers must undertake appropriate training, for example in research design, regulatory and ethics approvals and consents, mentoring of junior staff, equipment use, confidentiality, data-management, record-keeping, and data protection.

http://www.ulster.ac.uk/staffdev/Research_Training/controller.php

- 7.3 Line managers/principal/chief investigators must ensure that staff are given time and support to attend appropriate staff development courses.

8. Primary Data/Samples

- 8.1 Researchers should clarify at the outset of the programme any issues regarding the ownership of the data and samples used or created in the course of the research and also the results of the work. Any issues regarding ownership should be resolved and appropriate material transfer agreements or similar contracts put in place before the research commences.
- 8.2 Researchers must keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of interim results obtained as well as of 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 the conduct of the research, the consent process (for research involving human participants), or the results obtained. It is also important in the process of protecting intellectual property rights.
- 8.3 Consent forms and data generated in the course of research should be kept securely in paper or electronic format, as appropriate. Personal identification/contact information and codes to access anonymised data should be kept separately from the raw data. Updated back-up records of irreplaceable data must always be kept on a University-based personal computer or secure server accessible to all members of the research team. Please refer to the University's guidance on the handling of research data:

<http://portal.ulster.ac.uk>

- 8.4 Laboratory notebooks should be kept, where appropriate, and each key document and any changes should be signed and dated. Pages should not be torn from the notebooks and writing should not be in pencil. Data should be stored in such a way as to allow a complete retrospective audit and records should be monitored regularly to ensure their completeness and accuracy.

- 8.5 The University expects such data to be held securely for a minimum period of 10 years from completion of the work; however, research based on clinical samples or relating to public health might require longer storage to allow for long-term follow-up to occur.
- 8.6 Data or samples should be retained for more than 10 years if stipulated by the funder of the research, eg: The Wellcome Trust and several Research Councils require 10 years; departments of health and similar funders might require 25 years or indefinite retention. An archiving procedure has been put in place for material that is to be held for longer than 10 years.

Please refer to the ISD handbook *Protecting University Information*, available at:

http://isd.ulster.ac.uk/__data/assets/pdf_file/0004/2776/staff-handbook.pdf

- 8.7 All stored data and samples should be clearly marked with a “do not dispose of before” date. Storage of human samples must comply with the University’s licence under the Human Tissue Act. Where refrigeration is required, appliances with functioning monitoring and alarm systems must be used. Staff should be made aware of actions to take if an alarm sounds.

https://www.ulster.ac.uk/__data/assets/pdf_file/0004/75640/HumanTissuePolicy.pdf

<http://portal.ulster.ac.uk>

Transfer of data and research materials

- 8.8 All data and research materials generated in the course of research are important to the University as they might contain intellectual property of significant value or be relevant to ongoing or future studies.
- 8.9 Originals of all data must be transferred to the researcher’s line manager or supervisor at the end of the period of employment or study, and the whereabouts of all other materials or samples must be clearly indicated.

9. Ethical and Regulatory Approval

Research involving Human Participants and Human Material

- 9.1 Approval from the appropriate research ethics committee(s) must be sought for all research involving human participants, samples or data in accordance with the University’s policies and procedures.

https://www.ulster.ac.uk/__data/assets/pdf_file/0010/75637/HumanParticipantsPolicy.pdf

Approval from other regulatory bodies such as the Human Fertilisation and Embryology Authority or the Gene Therapy Advisory Committee in the UK should also be sought where necessary. Further information is available at:

<http://www.mrc.ac.uk/research/facilities/regulatory-support-centre/tool-kits/>

- 9.2 Research which requires ethical approval must not commence until this approval has been obtained, nor deviate from the approved protocol without new ethical approval; i.e. ethical approval must be sought and obtained prior to implementing any amendment to or deviation from the protocol originally approved.
- 9.3 Researchers shall carry out investigations or interventions only with the valid informed consent of participants, having taken all reasonable steps to ensure that they have adequately understood the nature of the investigation or intervention and its anticipated consequences.

- 9.4 Researchers should ensure the confidentiality of personal information relating to the participants in research, and that the research fulfils any legal requirements such as those of the Data Protection Act 1998, the Health and Safety at Work Act (NI) 1978, the Human Tissue Act 2004 and EU Recommendation No.R (90)3.

<http://plangov.ulster.ac.uk/governance/>

<http://www.ulster.ac.uk/hr/healthandsafety/>

https://www.ulster.ac.uk/__data/assets/pdf_file/0004/75640/HumanTissuePolicy.pdf

Research involving Animals

- 9.5 Research involving animals requires approval under the Animals (Scientific Procedures) Act 1986 (revised Jan 2013 to transpose EU Directive 2010/63/EU) and researchers must ensure that appropriate personal and project licences are in place. Stringent safeguards on animal pain and suffering and other legal requirements to ensure the care and welfare of animals must be put in place and observed.
- 9.6 At an early stage in the research design researchers should consider opportunities for the reduction, replacement and refinement of animal involvement.

10. Openness

- 10.1 While recognising the need for researchers to protect their own research interests, and to seek protection for any intellectual property identified during the course of the research, the University encourages openness. Researchers should be as inclusive as possible in discussing their work with other researchers and with the public to promote a culture of communication and transparency.
- 10.2 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 approvals and consents which cover the data and materials and any intellectual property rights in them.
- 10.3 The University recognises that publication of the results of research may need to be delayed for a reasonable period pending protection of intellectual property arising from the research or the due process that may be required by a sponsoring or funding organisation. However, any such periods of delay in publication should be kept to a minimum and the duration should be agreed in advance with a sponsor or other funder.
- 10.4 Researchers must adhere to the requirements of the University and research funders regarding the publication, availability, handling, preservation and deposit of research data.

11. Intellectual Property Rights and Ownership

- 11.1 Intellectual property includes patents, registered designs, copyright, design rights and know-how. Creative work, including research and development, can lead to intellectual property rights (IPR) and some of these can be protected under one or more headings.
- 11.2 In patent law, the intellectual property created during an employee's normal or specifically assigned activities belongs to the employer. This means that the IPR arising from the activities of university staff usually belongs to the University. Where work is being carried out under contract with an outside agency, specific provisions about IPR may apply. For instance, the University may be requested to assign its rights to the funder or sponsor, usually in exchange for some benefit.

- 11.3 Researchers who identify IPR should follow The University Code of Practice on Intellectual Property Rights

<http://oi.ulster.ac.uk/support-for-academics/intellectual-property/intellectual-property-policy>

12. Publication Practice

- 12.1 The agreement of all co-authors/contributors must be sought as to the convention of authorship and the order of names to appear on publications resulting from work as early as possible and prior to any submission for publication.

- 12.2 Results should be published in an appropriate form, such as papers in refereed journals, authored books, etc. Researchers should make all reasonable efforts to disseminate their research results as widely as possible to the academic community through papers, books, presentations or other suitable media and, where appropriate, to the public. Where a study has involved research participants, they should normally be informed of the outcome of the study and thanked for their participation.

- 12.3 The lead author on any paper must ensure that all co-authors are familiar with, and approve of, the contents of the paper and can identify their contributions prior to submission for peer review.

- 12.4 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.

- 12.5 The contributions of formal collaborators and all others who directly assist or indirectly support the research should be properly acknowledged.

- 12.6 The University's guidance on authorship is available at:

<http://portal.ulster.ac.uk>

and further guidance can be found in the Committee on Publication Ethics guidelines "Good Publication Practice"

<http://publicationethics.org/resources/guidelines>

13. Review and audit

- 13.1 To ensure studies comply with all legal, regulatory, procedural and other requirements, they may be subject to review or audit at any time.

APPENDIX

Please note that the following references and links are examples of guidance and regulation; this is not a complete or exhaustive list. Researchers must ensure that they are aware of all regulations appropriate to their particular area of work or study.

American Psychological Association (2010). *Ethical Principles and Code of Conduct*.
<http://www.apa.org/ethics/code/index.aspx>

BBSRC/DEFRA/NERC *Joint Code of Practice for Research*

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/413154/pb13725-research-code-practice.pdf

British Computer Society (2011). *Code of Conduct*.
<http://www.bcs.org/server.php?show=conWebDoc.1588>

British Psychological Society, The. *Code of Ethics and Conduct*
http://www.bps.org.uk/sites/default/files/documents/code_of_ethics_and_conduct.pdf

British Sociological Association. *Statement of Ethical Practice*.
<http://www.britisoc.co.uk/the-bsa/equality.aspx>

Chartered Society of Physiotherapy, The. *Rules of Professional Conduct*. <http://www.csp.org.uk>

General Medical Council *Good practice in research*. General Medical Council, London.
<http://www.gmc-uk.org/guidance/index.asp>

Human Fertilisation and Embryology Authority, <http://www.hfea.gov.uk/>

Human Tissue Authority, <http://www.hta.gov.uk/>

International Committee of Medical Journal Editors. 2013.
Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals
<http://www.icmje.org/>

Market Research Society (MRS). *Code of Conduct*. <http://www.mrs.org.uk/standards/codeconduct.htm>

Medical Research Council (2012). *Good Research Practice*.

<http://www.mrc.ac.uk/news-events/publications/good-research-practice-principles-and-guidelines/>

Medicines and Healthcare Products Regulatory Authority, *How we regulate*
<http://www.mhra.gov.uk/Howweregulate/index.htm>

Public Health Agency (Health and Social Care) Research & Development Office.
<http://www.publichealth.hscni.net/directorate-public-health/hsc-research-and-development-0>

Research Councils UK, *Policy and Code of Conduct on the Governance of Good Research Conduct*
<http://www.rcuk.ac.uk/Publications/researchers/grc>

Royal Statistical Society, The. *Code of Conduct*.
<http://www.rss.org.uk/Images/PDF/join-us/RSS-Code-of-Conduct-2014.pdf>

UK Research Integrity Office *Code of Practice for Research*
<http://www.ukrio.org/what-we-do/code-of-practice-for-research/>

UK Research Integrity Office *Procedure for the investigation of misconduct in research*
<http://www.ukrio.org/publications>

Universities UK *The Concordat to Support research Integrity*
<http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf>

Wellcome Trust, The (2005). *Guidelines on Good Research Practice*. The Wellcome Trust, London.
<http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002753.htm>

Appendix 20 Plagiarism Policy, Procedures and Guidance for Research Degrees (excluding MRes)

1 Policy

The University's policy is that plagiarism, whether deliberate or unintentional, is a form of cheating and is unacceptable. It is also a form of academic misconduct and all researchers should be familiar with the University's Code of Practice for Professional Integrity in the Conduct of Research and the Procedure for the Investigation of Allegations of Research Misconduct. It is expected that research students are trained in correct academic practice, including writing and referencing, early in their careers at the University and know what is expected of them and understand the meaning of plagiarism and its consequences.

Definition of plagiarism

The University's definition of plagiarism makes explicit that copying from printed or web sources and copying work produced by others including research students e.g.: figures, diagrams, images, artefacts, methods, data, text and ideas constitutes plagiarism. Researchers submitting papers for publication or including in their thesis work previously completed also need to be aware of self-plagiarism and take care that all previous work is correctly cited and acknowledged.

The definition reads:

Plagiarism is the act of taking or copying someone else's work, including another student's, and presenting it as if it were one's own. Plagiarism is said to occur when ideas, texts, theories, data, created artistic artefacts or other material are presented without acknowledgement so that the person considering this work is given the impression that what they have before them is the student's own original work when it is not. Plagiarism also occurs where a student's own work is re-presented without being properly referenced. Plagiarism is a form of cheating and is a disciplinary offence.

This definition is given in the University Student Handbook and Research Student Handbook.

Monitoring of Policy

The efficacy of the University's Policy as applied to taught courses, the MRes and research degrees is monitored by the Teaching and Learning Committee which receives annual reports from the Faculties and the Research Degrees Committee.

Penalties

The University's Policy provides a simple, graduated framework of penalties for plagiarism relating the severity of penalties to the extent and the number of offences. Researchers should be clear that there are academic, disciplinary and legal consequences resulting from the plagiarising of work belonging to others and that the University will take action in each instance.

The framework of penalties for doctoral programmes and MPhil follows. A separate framework exists for taught courses and the MRes degree.

FRAMEWORK OF PENALTIES FOR PLAGIARISM OFFENCES IN RESEARCH PROGRAMMES (EXCLUDING MRes)

INITIAL ASSESSMENT (100 DAY VIVA)	CONFIRMATION ASSESSMENT	THESIS	PLAGIARISM DETECTED AFTER GRADUATION
<p>Plagiarism will generally be dealt with by a verbal warning.</p> <p>The student will be asked to resubmit the report.</p> <p>A record may be placed on the student file.</p> <p>The student may be referred to the University Disciplinary Committee.</p>	<p>The student will be required to resubmit the report for further assessment.</p> <p>The student will be interviewed by a senior member of staff (normally the Research Institute Director or the Head of the Research Graduate School).</p> <p>A record will be placed on the student file.</p> <p>The student may be referred to the University Disciplinary Committee.</p>	<p>Examiners will be asked to examine the thesis and to make an academic judgement on it, taking into account the nature and extent of the plagiarism. If the thesis is deemed worthy of the degree, it must be resubmitted with all plagiarised material eliminated.</p> <p>The student may be referred to the University Disciplinary Committee; alternatively, the case may be dealt with under the University's Research Misconduct Investigation Procedures</p> <p>Depending on the extent and nature of plagiarised material in the thesis, the examiners may recommend discontinuation of studies at the University.</p> <p>A record will be placed on the student file.</p>	<p>The award may be revoked.</p>

2 Procedure and guidance for dealing with plagiarism in research degrees (excluding MRes)

The University's Plagiarism Policy applies only to work submitted at formal assessment points during the student's registration. Plagiarism detected in work produced for external use, including publication and unpublished reports to research sponsors should be dealt with through the University's Policy for the Investigation of Allegations of Research Misconduct. Work produced for internal use, including interim submitted material for discussion with a supervisor, is not covered by the Policy. This is not subject to a formal plagiarism penalty although it should not go unchallenged. Students should initially receive formative feedback. In serious cases the supervisor may choose to refer the student to the Head of Graduate School or to invoke Research Misconduct procedures. Research Governance and/or the Office of the University Secretary shall inform Research Student Administration of any referral through the research misconduct or disciplinary procedures.

Where plagiarism is detected in work submitted for assessment by a research student, the student is penalised in accordance with the Framework of Penalties for Plagiarism Offences in Research Programmes (excluding MRes). The central plagiarism register should be consulted to establish whether the student has offended previously. The Framework outlines consequences in the event of plagiarised material being detected at Initial Assessment (100 Day Viva), Confirmation Assessment, during the assessment of the final thesis by the Board of Examiners and after graduation.

When, in the academic judgement of staff, the plagiarism is of a very minor nature and may be attributed to incorrect referencing techniques, it may be treated as such rather than as plagiarism. The decision is informed by the student's record including previous instances of plagiarism during his/her registration.

Procedure for Initial Assessment (100 day viva) and Confirmation Assessment

The following procedure sets out what staff should do when they suspect or find plagiarism in work submitted for the Initial assessment (100 day viva) or the Confirmation Assessment. Academic judgement should be exercised in order to determine if, in accordance within the agreed conventions of the specific research discipline, plagiarism of a very minor nature may be attributed to incorrect referencing technique and should be penalised as such, rather than as plagiarism.

1. All work submitted by students for formative assessment will be processed through the Turnitin software by the Research Graduate School and the report passed to the Chair of the Assessment Panel
2. Where a supervisor or other member of staff suspects that a piece of work contains plagiarised material s/he should identify the source and provide this for discussion with the members of the Assessment Panel. The formal assessment should proceed and the student's submission discussed including the alleged plagiarised material. The student should be afforded the opportunity to provide further information to explain the occurrence to the Panel during the assessment.
3. Where the Assessment Panel is satisfied that there is plagiarised material in a student's work, the student should be penalised in accordance with the Framework of Penalties for Research Degrees excluding MRes. The central plagiarism register should be consulted to establish whether the student has offended previously. The student should be informed of the penalty.
4. For a first offence, the student should be invited to attend a 'formative interview', at which the student should be directed to appropriate resources on plagiarism avoidance, including the University's online study skills resource, *Skills+*. This interview may be combined with the investigatory interview above.
5. After a student has received formative advice offences are cumulative and carry over from year to year.
6. All offences (including first offences) and action taken must be recorded on the central plagiarism register within the Student Records Information System and a note placed on the student's file. (See below - Recording of Plagiarism Offences.)
7. When a student fails an assessment following the application of a penalty, the normal consequences of failure apply as set out in award regulations, in addition to any disciplinary penalty.
8. The student has the right of appeal as provided for in the Procedures for Review of Decisions, or under the Ordinance on Student Discipline, as appropriate.

9. Professional, Statutory and Regulatory Bodies (PSRBs) have their own policies with regard to being informed of plagiarism offences. Students on professionally accredited programmes should therefore be made aware, at induction, that any instance of plagiarism recorded against them may be reported to their professional or other body. The PSRB should be informed as appropriate.

Plagiarism in submitted thesis

Where plagiarised material is detected in a submitted thesis, the Board of Examiners has the following options:

- that the degree should not be awarded and no resubmission permitted;
- that the candidate should revise and resubmit the thesis for the degree of PhD or for the lesser degree of MPhil having first removed all plagiarised materials and completed any other required revisions;
- that the degree should be awarded subject to corrections to the thesis including the removal of all plagiarised materials.

Information on the student's previous plagiarism record is made available to the Board to inform its decision. The Board may also decide that the case should be dealt with under the University's Research Misconduct Investigation Procedures.

Recording of plagiarism offences

All offences must be recorded on the Central Plagiarism Register which is accessed through the Banner Student Records System. Plagiarism offences are recorded by the designated member of support staff within the Faculty/School who has the general responsibility for inputting information on the Student Records System. This person can query the register on behalf of academic staff. (For those staff, the plagiarism register can be accessed via <http://inb.ulster.ac.uk> [open the 'My Banner' folder and go to the 'Person Comment [SPACMNT]' folder].) A record of plagiarism should also be documented in the student's paper file. Staff may find the form at appendix 1 useful for this purpose (available from the Academic Office's website at www.ulster.ac.uk/academicoffice/Documents&Forms.htm). It can also be passed to the member of staff responsible for entering the information on the register.

As inclusion on the plagiarism register is not a penalty per se, records of offences are not removed from the record. If a student withdraws from one programme and enrolls on another, any plagiarism offences are still counted cumulatively.

While offences are not carried over from undergraduate study to postgraduate study, any information regarding plagiarism offences by students who have completed their undergraduate study at the University will still be held on the student's file and may be supplied as part of a reference to inform the postgraduate admission decision, but should not be taken into account in dealing with plagiarism following enrolment on the postgraduate course.

The Register is used for monitoring plagiarism in the University and contributes to the analysis made by Faculties and the Research Degrees Committee for their annual reports to the Teaching and Learning Committee.

Information for Students

Research Graduate Schools should consider the adequacy of their current arrangements for advising students on writing and referencing skills and the University's plagiarism policy. Advice on plagiarism should include reference to the definition of plagiarism, the use of electronic detection systems, an interview if plagiarism is suspected, and the penalties that apply.

The record of plagiarism or other research misconduct may be included in any reference provided for a student.

Turnitin

Students formally consent to the submission of their work to electronic detection systems at enrolment. The University has a University-wide licence to use *Turnitin*, which is an internet-based application designed to assess the degree of originality in a piece of written work. *Turnitin* is fully integrated with Blackboard.

Turnitin provides evidence of similarity and is not the sole means of detecting or confirming possible plagiarism. It cannot be relied on exclusively and requires academic judgement. Large plagiarised sections tend to be exposed fairly easily but other lesser material may be more difficult to detect. In some subjects, where extensive quoted material is commonly provided, the originality reports are not always useful but various filters can be engaged or disengaged and this can greatly affect the result. School and subject-specific training for staff is therefore strongly recommended.

Staff Development offers support for staff in the use of *Turnitin*. This includes sessions for newly appointed staff and bespoke sessions for Schools, as well as provision of documentation and guidance. Initial access for staff is managed by Research Student Administration, which arranges for registration with *Turnitin* to set up a personal account and password.

It is used routinely for all assessment material submitted for research degrees.

It is recognised that it is not possible to submit certain types of work to the *Turnitin* system, for example artefacts or visual images.

In relation to research study, *Turnitin* software is available for use by Research Graduate Schools only; no other staff member or student is permitted to use this software for the purposes of uploading a research assessment or any part of the research thesis.

Collusion and contract cheating

Collusion, where a student has supplied material to another student, is plagiarism on the part of the recipient, but not on the part of the supplier, who should be dealt with in accordance with the University's Research Misconduct Investigation Procedures. 'Contract cheating' is a process whereby students engage others to complete work on their behalf, often in return for payment. For example, students may advertise their assignment requirements on dedicated websites. Any such detected cases, as well as other offences where it is established that work has been completed by third parties, should be dealt with under the University's Research Misconduct Investigation Procedures.

Collaborative research

The student should acknowledge any assistance received in the production of work submitted for assessment. Where the research programme is part of a collaborative group project the student's individual contribution and the extent of the collaboration must be clearly indicated. Any part of the work, which has been previously submitted for any other degree, must also be clearly indicated. Articles, which have appeared in journals to which the copyright has been assigned, should not be included within the thesis without the express permission of the journal.

Appendix 21 Data Protection

1 INTRODUCTION and DEFINITIONS

The Data Protection Act 1998 (the Act) came into force on 1 March 2000 in the UK repealing previous UK legislation in this area. The purpose of the Act is to protect the individual rights and freedoms of persons especially their right to privacy with respect to the processing of personal data. Due to the nature of business at Ulster University (the University) it is required to hold and process, both electronically and manually, large amounts of personal data. The Act provides a framework to ensure that personal information processed and stored by the University whether in hard copy and electronic format is handled properly both on and off campus.

1.1 Definitions

- | | | |
|-------|---------------------------|---|
| 1.1.1 | “Data Controller” | individuals and organisations that process personal data. The University is a data controller. |
| 1.1.2 | “Data Subject” | anyone about whom personal data is held. For the University, Data Subjects include current, past and present students and staff (including affiliated and visiting staff), and other third parties such as suppliers, contractors, consultants or referees. |
| 1.1.3 | “Personal Data” | data which relates to any living individual who can be identified: from this data; or from those data and other information that is in the possession of, or is likely to come into the possession of the data controller. It includes, for example, name, date of birth, images and photographs. |
| 1.1.4 | “Processing” | any activity that includes obtaining, recording, holding or storing personal data, and carrying out any operations on it, for example, using, disclosing, adapting, altering, transferring or disposing of it. |
| 1.1.5 | “Sensitive Personal Data” | information of a sensitive nature relating to, for example, political opinion, religious belief, race or ethnic origin, physical or mental condition of a data subject. |

1.2 Application

The Act works in two ways. Firstly, it states that anyone who processes personal information must comply with the eight principles contained within the Act. The second area covered by the Act provides a Data Subject with important rights, including the right to find out what personal information is held by a data controller on electronic and/or paper records.

2 REGISTRATION AND NOTIFICATION

The University as a Data Controller is registered on the official register of Data Controllers held by the Information Commission’s Office (ICO). It is required to notify the ICO annually of the personal data processing activities that it undertakes. You can inspect the University’s registration and notification details at:

<https://ico.org.uk/about-the-ico/what-we-do/register-of-data-controllers/>

3 POLICY STATEMENT

The University is committed to protecting the rights of individuals in accordance with the provisions of the Data Protection Act 1998.

4 AIMS OF THE POLICY

The aims of this Policy are to set out the University's strategy for ensuring compliance with the Act, to ensure that all staff, students or third parties engaged by the University, are aware of their rights and responsibilities under the Act and to minimize the risk to the University of any potential breach of the Act. A breach of the Act could result in damaging valued relationships with stakeholders as well as causing reputational damage to the University and the individual.

This Policy relates to all personal data as defined by the Act held by the University and applies equally to information held in paper and electronic format stored in hard files, on PCs, laptops and other fixed or portable data storage devices. The Policy also applies to photographic material and CCTV footage.

5 DATA PROTECTION PRINCIPLES ⁴

The University is committed to the eight Data Protection Principles contained within the Act. These principles represent best standards of practice with respect to the transmission, retention and disposal of personal data. All staff, students and others who process or use any personal data must comply with these Principles. These state that personal data must:

- i) be processed fairly and lawfully;
- ii) be obtained only for the purposes specified and shall only be processed for those purposes;
- iii) be adequate, relevant and not excessive for the purpose for which they are processed;
- iv) be accurate and kept up to date;
- v) be kept for no longer than is necessary;
- vi) be processed in accordance with the rights of data subjects under the 1998 Data Protection Act;
- vii) be protected against unauthorised processing of personal data and against accidental loss or destruction to personal data;
- viii) not be transferred outside the European Economic Area without adequate protection.

6 THE DATA PROTECTION CO-ORDINATOR AND DELEGATED OFFICERS

The University will ensure that it has in place at all times a designated Data Protection Co-ordinator.

The University Secretary, Mr Eamon Mullan, is the University's designated Data Protection Co-ordinator. The Data Protection Co-ordinator has the primary responsibility for coordinating Data Protection compliance across the University, including notification, and is the ultimate arbitrator within the University in respect of Data Protection matters.

The Data Protection Co-ordinator is supported by the Equality and Legal Manager and the Policy Co-ordinator. These officers are the first point of contact for queries and advice on responsibilities and compliance under the Act; for subject access requests (see section 9); and for liaising with the ICO and other agencies where appropriate. Contact details for these officers are at the bottom of this document.

⁴ Summarised from the Data Protection Act 1998 © Crown Copyright 1998

7 RESPONSIBILITIES OF STAFF AND STUDENTS

Staff and students at the University are expected to read and understand this Policy and, where required, to seek further clarification from the office of the Data Protection Co-ordinator. Staff and students are required to abide by this Policy and related policies (see Appendix 2) as from time-to-time amended. Any alleged breaches of the Data Protection Act by staff and/or students will be fully investigated and may result in disciplinary action and may, in some instances, be considered gross misconduct. **It is compulsory for all staff to complete the University's data protection training programme.**

All staff and students must apply the criteria listed below as appropriate and relevant at all times to the processing, transmission, retention and disposal of personal data in both electronic and hard copy format.

- i) Ensure that data is kept securely in terms of physical security of offices and filing cabinets with the level of security appropriate to the level of confidentiality and sensitivity of the material.
- ii) Ensure that robust procedures are in place to prevent accidental loss or destruction of personal data.
- iii) Ensure that the use of, and access to, computers, laptops and other portable electronic data processing/storage devices is compliant with University guidance contained within the Code of Practice for Use of Ulster University Computer Networks, Equipment and Telephone Systems, available at:
<http://www.ulster.ac.uk/isd/itus/docs/policies/aucop.htm>
- iv) Staff who have responsibility for supervising students involved in work which requires the processing of personal data are required to ensure that the students are fully aware of the Data Protection Principles and the requirements of this Policy, and the need to obtain the consent of any data subjects involved as appropriate.
- v) Ensure that access to personal data is restricted only to authorised persons.
- vi) Inform University security staff immediately of incidents where persons without proper authorisation are found in areas where personal data is held or processed.
- vii) Ensure that personal information is retained only for the period of time for which it is required. Further information on the length of time records should be kept can be found in the University's Retention and Disposal Schedule available at:
<http://www.ulster.ac.uk/isd/archive/schedule/retention.htm>
- viii) Ensure that all personal data is obtained for specified purposes and only processed for those purposes.
- ix) Avoid, in so far as possible, recording personal opinions not based on fact about a Data Subject. These comments will be disclosable.
- x) Ensure that personal information is not disclosed either accidentally or deliberately either verbally or in writing to any unauthorised person or organisation.
- xi) Avoid giving personal data by telephone unless there is a very high degree of certainty that the caller is the person he/she claims to be, and is an appropriate person to receive the data in question.
- xii) Ensure that accurate, up-to-date personal details are provided to the University and notify the University immediately of any changes or errors.

- xiii) There may be circumstances when it is appropriate for the University to share personal information with other organisations, for example if it relates to a criminal investigation. In any such circumstances further guidance should be sought from the Data Protection Co-ordinator.

The Vice-Chancellor, Pro-Vice-Chancellors, Deans, Heads of School, Research Institute Directors and Directors/Heads of support departments are responsible for having in place appropriate procedures to ensure compliance with the Act within their areas of responsibility. These officers will also be responsible for nominating a suitable representative(s) who will undertake specialist data protection training and will work with the Data Protection Co-ordinator to respond to subject access requests and implementation and dissemination of good practice.

8. BREACH OF THE DATA PROTECTION ACT 1998

8.1 Definition of a Breach of the Data Protection Act 1998 (the Act)

Any unauthorised or unlawful processing, accidental loss or destruction of, or damage to, personal information held at the University in both electronic and hard copy format will constitute a breach of the Act. Any such breaches will be reported to the ICO who, since April 2010, has the power to impose enforcement notices and monetary penalties of up to £500,000 for the most serious incidents.

8.1.1 What Events/Incidents should be reported?

Any incident that could potentially compromise the security of personal data such as:

- Theft of a laptop
- Loss of mobile phones, flash drives and other data storage devices
- Unauthorised disclosure of personal information
- Loss of personal files
- Non arrival of sensitive information
- Maintenance of unsecured databases

The above list is not exhaustive

8.1.2 When Should the Event/Incident be reported?

Immediately the data loss has been discovered.

8.1.3. How should the Event/Incident be reported?

By completing the Breach of Data Security Report Form, available online at:
<http://www.ulster.ac.uk/secretary/policyimplementation/dataprotection.html>

The completed Report Form should be forwarded to the University Secretary, Mr Eamon Mullan, c/o Ulster University, Room J313, Coleraine BT52 1SA. A copy of the Report Form can be emailed to Mr Mullan at: e.mullan@ulster.ac.uk. Mr Mullan will contact you in confidence on receipt of the Report Form.

If you require any advice please contact Mr Mullan on telephone no. 028 7012 4533. Complaints may also be made directly to the ICO. Details of how to complain to the ICO are detailed in this Policy under point 11. COMPLAINTS.

9 RIGHTS OF DATA SUBJECTS

A Data Subject has the right to request access to their personal data held by the University.

Any person who wishes to exercise this right is required to complete a subject access request form available upon written request to the Data Protection Co-ordinator, also available online at:

<http://www.ulster.ac.uk/secretary/policyimplementation/dataprotection.html>

The University charges a fee of £10.00 for processing subject access requests.

If an access request is received by any other member of staff it should be forwarded immediately to the Data Protection Co-ordinator.

The University undertakes to comply with requests for access to personal information as quickly as possible. In compliance with the law, this will be within 40 calendar days of receipt of a request. However, in exceptional circumstances where a delay is unavoidable, for example, where the University requires further clarification or additional information to enable it to complete the request, the period may be extended provided always that the data subject is informed in writing by the Data Protection Co-ordinator or their delegated authority of the reason for the delay.

Where an individual requesting information is not known to the University photographic proof of identity may be requested prior to issue of personal data.

10 USE OF PERSONAL DATA BY CONSULTANTS OR CONTRACTORS

Where consultants or contractors are engaged by the University on work that requires the processing of personal data, the University remains the data controller of that data and these organisations will be required to demonstrate that they have arrangements in place to comply with the requirements of the Act and this Policy. In line with the University's Data Protection Policy the Third Party Processing Agreement (the Agreement) should be used when engaging third party suppliers. The Agreement is available at:

<http://www.ulster.ac.uk/secretary/policyimplementation/dataprotection.html>

11 COMPLAINTS

Under Section 42 of the Act an individual has the right to make a complaint if they feel that their personal information has not been handled by the University in accordance with the Data Protection Principles contained within the Act. A complaint may be submitted in writing to the Data Protection Co-ordinator, Mr Eamon Mullan, c/o Ulster University, Room J313, Coleraine, BT52 1SA or by email at: e.mullan@ulster.ac.uk. Alternatively, a complaint may be made to the ICO. Full particulars of the Data Protection Act 1998 including contact details and the information leaflet 'When and How to Complain' may be found at: <https://ico.org.uk/concerns/>

12 POLICY IMPLEMENTATION

The University will ensure that this Policy and the appropriate procedures are implemented and disseminated and are kept under regular evaluation and review.

13 FURTHER INFORMATION

Some sources of further information are set out below.

CONTACTS

Data Protection Co-ordinator	Mr Eamon Mullan Telephone No: (028) 7012 4403 e-mail: e.mullan@ulster.ac.uk
Equality and Legal Manager	Ms Angela Getty Telephone No: (028) 9036 8869 e-mail: ak.getty@ulster.ac.uk
Policy Co-ordinator	Ms Elinor Byrden Telephone No: (028) 7012 3354 e-mail: e.byrden@ulster.ac.uk

OTHER RELATED UNIVERSITY POLICIES, FORMS and GUIDANCE

Code of Practice for Use of Ulster University Computer Networks, Equipment and Telephone Systems:
<http://www.ulster.ac.uk/isd/itus/docs/policies/aucop.htm>

Ulster University Retention and Disposal Scheme:
<http://www.ulster.ac.uk/isd/archive/schedule/retention.htm>

Subject Access Request Form:
http://www.ulster.ac.uk/secretary/policyimplementation/dataprotection/sar_form.pdf

Freedom of Information: <http://www.ulster.ac.uk/secretary/policyimplementation/foi.html>
Student Handbook: <http://www.ulster.ac.uk/guide/>

Policy for the Protection of Children and Vulnerable Adults:
<http://www.ulster.ac.uk/secretary/policyimplementation/childprotection.html>

Equality Scheme: <http://www.ulster.ac.uk/secretary/policyimplementation/equality.html>

Disability Disclosure Guidelines:
<http://www.ulster.ac.uk/secretary/policyimplementation/equality/guidance.html>

Special Educational Needs and Disability (NI) Order 2005 - Guidance
<http://www.ulster.ac.uk/secretary/policyimplementation/equality/guidance.html>

FURTHER RELEVANT INFORMATION IS AVAILABLE AT:

Information Commissioner's website: <https://ico.org.uk/>

Data Protection Act 1998, legislation in full at:
http://www.opsi.gov.uk/acts/acts1998/ukpga_19980029_en_1

Freedom of Information Act 2000, legislation in full at:
<http://www.legislation.gov.uk/ukpga/2000/36/contents>

Higher Education Statistics Agency: <https://www.hesa.ac.uk/>

Appendix 22

External Supervisor Guidelines

JOINT SUPERVISION WITH EXTERNAL AGENCIES

Projects Involving an External Supervisor

The following sections are extracts relating to external supervisors from the University's Regulations for the Degree of Doctor of Philosophy and associated Rules and Guidelines, the Research Studies Handbook and the University's Charter, Statutes, Ordinances and Regulations 2011/2012.

The following Regulation relating to Recognised Teachers is contained in the University's Charter, Statutes, Ordinances and Regulations 2011/2012:

The term 'Recognised Teacher' will apply to persons who, not being members of the Academic Staff of the University, may be invited to engage in the teaching, supervision, assessment and examination of students on University courses (notably those which involve an element of practice placement as part of a professional qualification).

Proposals from faculties for the appointment of such persons together with their duties and responsibilities, shall be considered by the Senate which may make recommendations to the Council.

The equivalent appointment of external supervisors will be considered by the Research Degrees Committee with delegated authority from the Senate.

The appointment of an external supervisor is permitted under the Regulations for the Degrees of MPhil, PhD and MD (see relevant sections of Guidelines for the Appointment of Supervisors).

The following extracts from the Framework for Distance Research Study provide further information on the requirements for external supervisors (the full Framework can be found under Appendix 8 of the Research Studies Handbook:

At least two Ulster University supervisor(s) will be appointed for all distance PhD students. Supervision will only be approved by the University for those projects where there is existing research expertise at the University. In addition, an external supervisor(s) for the research study will be required at the home institution hosting the PhD student*. Ulster University Research Degrees Committee approves the appointment of External Supervisors in line with agreed guidelines. In light of these requirements, it is advisable for those considering this mode of study to have informal discussions with the potential Ulster University and external supervisor(s) before submitting their application.

* Students in the Faculty of Arts may in certain circumstances be exempt from the requirement to have a supervisor in their country of study.

A statement from the proposed External Supervisor on suitable headed paper should be included with the application form, indicating willingness to act in the capacity of external supervisor and also verifying that the expectations are clear and the necessary resources are available at the proposed site of distance study to support the PhD project work.

The Research Studies Handbook provides guidance on the role of the external supervisor.

Where (i) collaborative study requires the student to spend a substantial amount of his or her time at the premises of the collaborating organisation or (ii) the student is undertaking the programme by part-time distance study, the appointment of an external supervisor will be considered. The external supervisor will be a subject specialist and will hold recognised academic qualifications in the area of study. The role of the external supervisor must be discussed and agreed prior to an appointment being made. Where an external supervisor has been appointed, he or she will be added to the Supervisor Team but may not be appointed Chair of the Supervisor Team as this role must be held by a member of staff of the University. A record of the external supervisor's involvement will be maintained by the University subject to the Data Protection Act. It is anticipated that the contribution of the external supervisor will be acknowledged in any thesis or publications arising from the research. Any disagreement or dispute between the University supervisor(s) and the external supervisor relating to the progress of the student or the project will be referred to the Head of the Faculty Research Graduate School who will seek a resolution.

Further details and guidance can be obtained from Research Student Administration.

Appendix 23 Ulster eTheses Deposit Agreement



Ulster eTheses Deposit Agreement

I have deposited a printed copy of my thesis ["the Work"] in Ulster University Library and wish to deposit an electronic copy of the Work in the Ulster Institutional Repository ["Institutional Repository"] and/or with the British Library to be made available via the EThOS system.

Whether I deposit my Work personally or through an assistant or other agent, I agree to the following:

NON-EXCLUSIVE RIGHTS

Rights granted to Ulster University and/or the British Library and the user of the thesis through this agreement are non-exclusive. I retain all rights in the Work in its present version or future versions. I agree that Ulster University and/or the British Library or their agents may, without changing content, digitise and migrate the Work to any medium or format for the purpose of future preservation and accessibility.

DEPOSIT IN ULSTER UNIVERSITY INSTITUTIONAL REPOSITORY AND/OR IN THE BRITISH LIBRARY EThOS SYSTEM

I understand that work deposited in the Institutional Repository and/or with the British Library will be accessible to individuals and institutions via the Internet and through the EThOS system subject to the terms and conditions I grant below to Ulster University and/or the British Library and to the user of the thesis. I understand that, through the medium of the Internet, files will also be available to automated agents, and may be searched and copied by text mining and plagiarism detection software.

I DECLARE AS FOLLOWS:

That I am the author and owner of the copyright in the Work and/or I have the authority of the authors and owners of the copyright in the Work to make this agreement and grant Ulster University and/or the British Library a non-exclusive royalty free perpetual licence to make available the Work in digitised format through the Institutional Repository and/or through the British Library via the EThOS system for the purposes of non-profit academic research, private study, criticism, review and news reporting, illustration for teaching, and/or other educational purposes in electronic or print form. That if my thesis/dissertation does include any substantial subsidiary material owned by third-party copyright holders, I have sought and obtained permission to include it in any version of my Work available in digital format via a stand-alone device or a communications network and that this permission encompasses the rights that I have granted to Ulster University and to the British Library.

Either

That the digital version of the Work I am supplying is as approved by the examiners at the time of the award of my degree and as previously submitted to the Library in printed form.

Or

That, if I do not have a suitable digital version of the Work available, or if Ulster University encounter problems with any digital file I supply, Ulster University may scan the Work from the printed copy in the University Library

That I have exercised reasonable care to ensure that the Work is original, and does not to the best of my knowledge break any UK law, infringe any third party's copyright or other Intellectual Property Right, or contain any confidential material.

I understand that neither Ulster University nor the British Library have any obligation to take legal action on behalf of myself, or other rights holders, in the event of infringement of intellectual property rights, breach of contract or of any other right, in the Work.

Please sign this page and return it to Research Student Administration

Name #####

Address: #####

#####

#####

#####

Signature:

Date:

Thesis Details

Please supply as many of the details requested below as possible.

Field Name	Comments
Title:	Full title, including any subtitle:
Alternative Title:	Other titles for the work, e.g. Translations or abbreviations.
Author:	The author of the work as on the title page. Separate the surname (family name) from the forenames, given names or initials with a comma, e.g. Smith, Andrew J.
Supervisor(s)/advisor: ##### ##### #####	Thesis supervisor, other supervisors, and advisors. Format as for author.
Subject keywords:	Keywords that will help readers search for your thesis.
Abstract:	Please supply the Abstract in a form that can be copied, e.g. Word. If possible, please supply a file from which the abstract can be copied.
Awarding Institution: #####	Name of institution awarding degree.
Author Affiliation:	Name of school, department, centre, faculty or college where you were based.
Publisher:	Name of the publisher if the thesis or any version of it has been formally published.
Sponsors:	Sponsor of student if applicable.
Qualification name:	Name = Specific degree, e.g. PhD
Language:	Primary Language
Date of Award:	Date degree awarded in format: YYYY-MM

Included/Quoted work:	References to other works, e.g. an edition of a text or discussion or another work that is the major subject of the thesis.
File Format:	File type and software version (e.g. Word 2003) of the text supplied.
File Size:	Size of file for preservation information and integrity checking.

Appendix 24 International Students – Supplementary Information

The University currently holds a Tier 4 Sponsor Licence which permits the recruitment of international students. In order to retain this licence, the University must provide the Home Office with evidence that it complies with the conditions of sponsorship, which include informing the Home Office when students fail to enrol, miss two consecutive sign-in sessions without permission (e.g. unauthorised leave) or withdraw or complete their course earlier than expected.

The University is also required to maintain proper records of the students that it sponsors, including contact details and a copy of the Biometric Residence Permit (BRP) (previously known as the identity card for foreign nationals (ICFN)).

Monitoring of visa status:

The University is required to monitor the visa status of all international students, including those who have not entered the UK on a Tier 4 student visa. To this end, Research Student Administration will obtain copies of student visas at registration and will monitor the end dates of these visas. The University is expected to obtain proof that, where required, a visa extension or renewal has been applied for, and will require a copy of the letter issued to each student by the Home Office notifying that the application has been received followed by a copy of the new visa when obtained.

Non-EEA students on a Tier 4 visa are required to:

- Attend the University on a full time basis
- Comply with UK visa and scholarship working restrictions
- Sign-in every two weeks at your School Office
- Provide updated immigration status information as necessary
- Inform the School Office of any changes to contact details
- Register with the Police Service Northern Ireland (PSNI) (if this is a condition of the Tier 4 visa)
- Provide updated Police Registration Certificates as necessary

Updating Information:

The University is required to maintain accurate information on all its students. In particular:

- Students must inform the School Office and/or Research Student Administration of any change of address, email and telephone contact numbers immediately;
- If a student extends permission to remain in the UK and is granted a new Tier 4 student visa, Research Student Administration must be kept updated on progress with the application (via copy letter notifying that the application has been received) and the student must provide a copy of the new Biometric Resident Permit once issued.
If these details are not updated within 14 days of receiving the new visa the University will take action and students may be required to withdraw from their course of study.
- If a student extends permission to remain in the UK and is granted a new Tier 4 student visa and is required to have a Police Registration Certificate, students are required to provide the PSNI with updated details.
If this is not submitted, the International Visitors Registration Office of the PSNI will assume the student has returned to their home country or will assume that they are an 'overstayer' in the UK and will take action. 'Overstayers' will have difficulty in obtaining future visas.

Attendance Monitoring:

As a requirement of these immigration regulations, the University has implemented a programme of attendance monitoring for all international students who hold a Tier 4 student visa. Attendance monitoring will begin as soon as the student registers. Students are required to 'sign in' once (1 time) every 2 weeks for the duration of the programme. Students who are unable to sign-in for medical reasons should ensure that the School Office is provided with a copy of the medical certificate.

Students who need to take leave from the University for a period of time must obtain permission from their supervisor in writing (via an Authorised Absence form), which will be submitted to the School Office for recording on the attendance monitor. Students should note that this leave should not extend the duration of their period of study, as the University is not able to continue to sponsor such a student. The University is obliged to report to the Home Office any period of leave that would result in an extension to the duration of their programme and the Home Office will move to curtail that student's leave and ask the student to return home. Students are required to 'sign in' on their return on the agreed date.

Research Students are expected to sign in throughout the year, except on days when the University is closed (one week at Easter and one week at Christmas).

Working / Employment:

Research students are restricted in the hours they can work as well as the type of work they may undertake. The conditions of the student visa will be clear as to the restrictions on working hours, but University regulations for full time candidates will further restrict the number of hours a student may undertake paid employment (until such time as they complete their normal registration period). If in doubt, students should contact Research Student Administration for guidance on this matter.

End of study

International Students will be required to provide Research Student Administration with evidence of their travel plans to leave the UK once the course end date has been reached.

The University is also obliged to notify the Home Office of any international students in possession of a Tier 4 visa who submit earlier than their course end date as specified on the CAS statement. The Home Office may then move to curtail the student's leave to remain to 60 days.