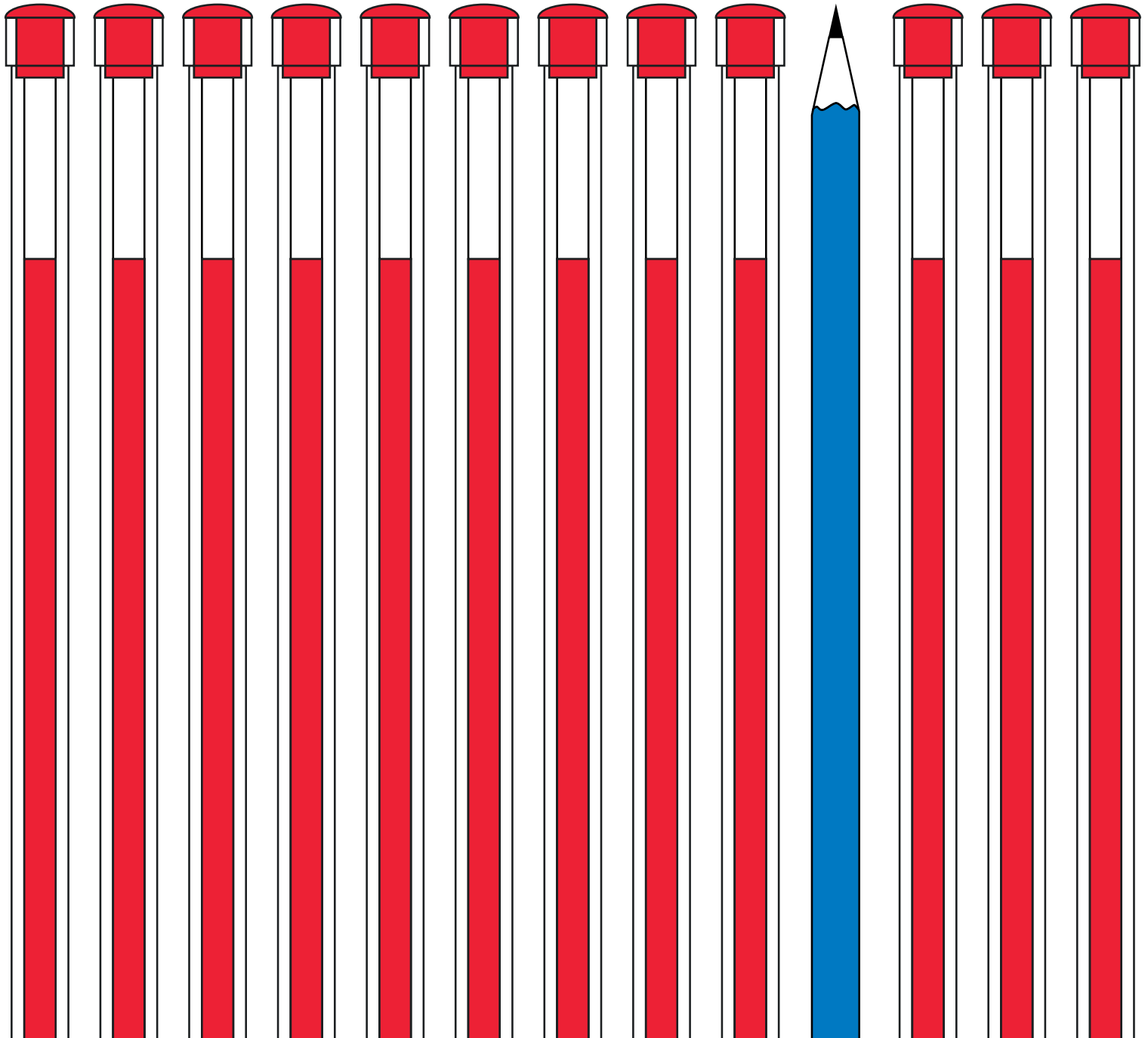


# Research Degrees Handbook & Regulations 2011



The Research Degrees Handbook and Regulations is divided into three sections:

## **Section A: handbook and regulations**

### **Handbook**

The Handbook is intended to be a comprehensive source of information for all research students studying at the University of the Arts London. It contains advice about the nature of research degrees; what it means to be a research student at the University of the Arts London; how research is conducted; who will help you throughout your studies; other support available at the University of the Arts London; how to keep in touch with other researchers, and all the essential regulations and procedures which you will need to refer to.

The format of the Handbook, in general, follows the life cycle of the MPhil/PhD. You will find details of the registration process in the early chapters, along with information about supervision and the research student training programme. Advice on sources of information for research students, facilities for research students, Health and Safety issues and student support services are also included. The Handbook then deals with monitoring and progression and confirmation as MPhil or PhD. Finally, there are chapters on thesis submission and the examination process as well as important information on complaints and appeals.

### **Regulations**

Extracts of the approved Research Degree Regulations of the University of the Arts London (10th edition) are outlined throughout the text, with numbering that relates to these regulations. The complete regulations are available on the University's website > Research Degrees.

## **Section B: Annexes to the Regulations**

There are seven annexes which should be read in conjunction to the Regulations:

Annex 1 Code of practice on Research Ethics

Annex 2 Research degree registration transfer procedures

Annex 3 Code of practice for supervisors and research students

Annex 4 Format and binding of thesis

Annex 5 Procedures for the oral examination

Annex 6 Disciplinary code for students

Annex 7 Definition of Plagiarism

## **Section C: supplementary information**

This is an assortment of further information relating to your study, you will receive further additions to this section during the course of your study. Supplementary Information contains details on the organisational structure of research at the University of the Arts London, the College Research Degrees Sub-Committees and guidance on finalising your proposal as well as other useful information.

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# Section A: handbook and regulations

## A1. Introduction

This section gives an indication of the nature of research degrees and a more detailed section on Research Degrees at the University.

### The nature of research degrees

Research degrees at the University of the Arts London include the awards of the Master of Philosophy (MPhil) and the Doctor of Philosophy (PhD). For definitions of these awards please refer to Section 1 of the Regulations (below).

#### 1. Principles

- 1.1 The University of the Arts London (hereafter referred to as ‘the University’) shall award the degrees of Master of Philosophy (MPhil) and Doctor of Philosophy (PhD) to registered students who successfully complete approved programmes of supervised research.
- 1.2 Programmes of research may be proposed in any field of study within the expertise of the University of the Arts London, provided that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. A research degree is characterised by the sustained, rigorous and critical investigation of a defined subject, by the openness of the research methods and results to evaluation by others, and by the contribution to public knowledge and understanding of its outcome. When creative work forms a significant part of the research programme, references to the ‘thesis’ are understood to mean the totality of the submission for the degree, which will include the creative work and/or documentation of the creative work, and the written text.
- 1.3 A PhD is awarded in recognition of the creation and interpretation of new knowledge through original research or other advanced scholarship. The thesis must be accessible to peers and other related academics, and give evidence of being a significant contribution to knowledge and/or to understanding of the subject researched, and of the student’s capacity to pursue further research without supervision. The thesis should contain a significant amount of material worthy of publication or public presentation.
- 1.4 An MPhil degree is awarded in recognition of a systematic, well documented and well argued study, which should demonstrate adequate knowledge and understanding, critical evaluation and discussion of a field of study. The MPhil must be accessible to peers and other related academics, must show initiative and independence of thought, and must be a distinct contribution to scholarship. It must also show evidence of



the student's proficiency in the methods and techniques of research. It is an award in its own right or, alternatively, it may be undertaken as preparation for a PhD.

- 1.5 Only one award of MPhil or PhD can be made for a single project.
- 1.6 The MPhil may be awarded if the examiners consider a thesis submitted for a PhD meets the criteria specified for an MPhil (see 1.4 above) but does not meet the criteria specified for a PhD in 1.3 above (see section 10.4.iv of these Regulations).

The format of study is very different from a taught degree. As a research student you will engage in a programme of independent research and/or creative work, with guidance from your supervisors. Meetings with supervisors take place at regular intervals throughout the registration period. During the first year of enrolment you will participate in an induction programme, undertake training in research methods and attend a series of seminars on research in your field. Workshops will also be provided on topics such as preparing a research proposal, presentation skills and writing skills. Full details on the Research Student Training Programme are given in Section A4 of this handbook and the Research Network at the University of the Arts London (RNUAL) Guide 11/12 provides the full programme for this academic year.

## **Research degrees at the University of the Arts London**

The University of the Arts London encourages a range of research degree registrations based on creative practice, theoretical/historical analysis and experimental work. The subject range of the University means that students can follow programmes of study in which creative work can form a significant part of the intellectual enquiry. Such work may be undertaken in any appropriate field and should be set within its theoretical, critical or design context. Where practical or creative work forms part of the submission for the award of MPhil or PhD, the submission must include evidence of research through practice and, where appropriate, the examination may also include an exhibition, or other presentation, of the student's work.

A research degree may be taken in any subject area where the University can provide appropriately qualified supervision. There is research activity in all of the subject areas in which the University is involved, including: fine art; graphic, product, interior and spatial design; fashion; textiles; history and theory of art and design; cultural studies; theatre design; conservation; media and communication studies.

Interdisciplinary projects will be considered. Art and design projects combined with scientific or social subjects may be arranged through collaboration with other universities.

As a research student at the University of the Arts London you are part of a broadly based research community. Induction and training programmes and subject-specific research seminars on relevant topics are provided on a University-wide basis, while each college also organises programmes of presentations and seminars. The facilities, resources and training available to research students at the University are outlined in Sections A2 (p12), A3 (p16) and A4 (p19) of this handbook.

There are four Colleges at the University of the Arts London: CCW (Chelsea College of Art, Camberwell College of Arts and Wimbledon College of Art), Central Saint Martins College of Art and Design, London College of Communication and London College of Fashion. Each college has an Associate Dean of Research, who has responsibility for overseeing arrangements for research students.

The Research Management and Administration Service (RMA) is located at the University of the Arts London's building in High Holborn. Research Management and Administration is lead by the Director of Research Management and Administration. The service consists of five administrative sections, one of which is the Research Student Section, which includes the Senior Research Administrator (Students), the Research Student Administrator and the Research Administrator (Students) who will be responsible for all aspects of administration for research students. The other four sections are the Research Finance Section, the Research Funding Section, the Research Communications Section and the Research Networks Section. For further details on the organisational structure of Research Management and Administration, please see Section C1 (p108) of this handbook.

Applicants wishing to undertake a research degree at the University of the Arts London will typically be required to meet the criteria below. Because there are many routes into a research degree it is understood that some applicants may have non-standard qualifications and/or may have substantial professional experience. In all cases candidates will be required to demonstrate their ability to undertake work at research degree level and their suitability to undertake their chosen research project.

## **2. Admissions**

### **Entry Requirements**

- 2.1 An applicant seeking admission to the degree of MPhil or PhD shall normally hold a first or upper second class honours degree of a university or any other institution of higher education in the UK with degree-awarding powers or a qualification which is regarded by the University as equivalent to a first or upper second class honours degree.

- 2.2 In some instances, applicants without this requirement may be considered if they can demonstrate appropriate alternative qualifications, professional experience or previous research.
- 2.3 Where English is not an applicant's first language, an applicant must demonstrate evidence of English language ability to the following (or equivalent) minimum level of proficiency: International English Language Test (IELTS) scoring at least 7.0+ (with a 7.0 in writing) or a recognised equivalent as agreed by the University Language Centre.
- 2.4 These minimum University requirements may be supplemented by additional requirements by Colleges.
- 2.5 Applications are for an unspecified research degree and include an expression of intent to complete with the degree of MPhil or PhD.

2.6 **Candidates located outside the United Kingdom**

Colleges may approve an application from a candidate proposing to work outside the UK, provided that:

- i) adequate facilities are available to the applicant to carry out their proposed programme of study;
- ii) the supervisory arrangements enable regular and sufficient contact with supervisors based in the UK via electronic communication;
- iii) if the student is working abroad there will be regular contact with the supervisory team and at least 6 weeks study in the UK.

The Selection Process:

- 2.7 The process of selecting appropriately qualified and/or experienced applicants for admission to a research degree is the responsibility of the appropriate College.
- 2.8 The College will consider all applications for registration for a research degree. At this stage the applicant may be invited to visit the College for an informal discussion on the proposed programme of research.

Selection criteria

- 2.9 Applications will be considered according to the following selection criteria:
- i) the academic profile of the applicant and his/her ability to achieve the standard of the appropriate degree within the maximum permissible timescales;
  - ii) the viability of the proposed research project, its aims and its suitability for the level of award identified;
  - iii) the availability of supervisors with appropriate expertise, experience of supervision and supervisory capacity;
  - iv) the availability of sufficient supporting resources for the conduct of scholarly research and/or creative practice in the area of the proposed research project.

## A2. Sources of information and support for research students

This section gives an overview of the research community at the University and how information is shared within this community. It also provides details of the support services available to research students, with specific sections for international students and those seeking financial support for their studies.

### The research community

At the University of the Arts London, research students are integrated into the research environment of each of the Colleges and, where possible, are normally located alongside, or nearby, their supervisors and other researchers. Many research related activities are provided, including College research seminars and University research seminars. The research student training programme runs throughout the whole of the first year and the University arranges a number of activities for both its students and for students from other institutions working in the field of art and design. Other support is available during subsequent years of study. Information about the programme can be found in the RNUAL Guide. Information on the research of current and completed students, can be found on the research website at [www.arts.ac.uk/research](http://www.arts.ac.uk/research). Research Management and Administration has also compiled a catalogue of abstracts from completed students' theses and you are welcome to use this as reference.

One important aspect of being a research student at the University of the Arts London is that it engages primarily in the disciplines of arts, design and communication. Within that range of disciplines there are a number of highly specialised endeavours taking place but University-wide activities, such as the research student training programme, are largely discipline-specific.

As a student of the University of the Arts London, you must comply with the Disciplinary Code for Students (see [http://www.arts.ac.uk/student/discip\\_code.htm](http://www.arts.ac.uk/student/discip_code.htm)) as well as the Code of Practice on Research Ethics (see Annex 1, p76) and the Code of Practice for Supervisors and Research Students (see Annex 3, p89).

### Methods of communication

As well as College publications, a number of University-wide publications exist, including this Research Degrees Handbook and Regulations. A list of other relevant publications to research can be found in the RNUAL Guide 11/12. The University operates a comprehensive intranet, which includes a research website at [www.arts.ac.uk/research](http://www.arts.ac.uk/research). This website contains a great deal of information relevant to research students: such as publications (including this handbook and the regulations), funding opportunities, staff and

student activities and research seminar programmes plus electronic copies of all the forms needed to complete your study. Research Management and Administration manages the website and updates the information regularly. Research Management and Administration also distributes the Research Network at the University of the Arts London (RNUAL) information via email. Finally, individual University email addresses and email lists of research students are used for the majority of communication. Please ensure that you are aware of your University student email address, as this is the only email we will use when communicating with you (staff studying for a research degree please note that you will need to get a student account to receive email relating to your research degree study). If managing an extra email account is problematic, please forward all emails from your college email account to your main personal email account. Further details on how to obtain and manage your student email address can be obtained from the RMA Student Section.

## **Student services**

Research students, like all students at the University of the Arts London, have access to the support provided by Student Services. Student Services staff offer information and advice on disability, employment, career development, money matters, childcare and health. There is also a confidential Counselling Service. Student Services is open all year round, Monday to Friday, at the University of the Arts London's central offices at 272 High Holborn, London, WC1V 7EY. During term-time, there are also offices at key College sites, some of which are open all year round, where Student Advisers offer a one-stop shop service of general and specialist advice and guidance. The Student Adviser at your College, or Reception at Central Student Services, is your first point of contact. Sometimes they may refer you to other Student Services staff either on site or at Central Student Services. The Student Services website [www.arts.ac.uk/student](http://www.arts.ac.uk/student) is a very useful resource, with information and advice on money, careers, disability, health, childcare, counselling, international student issues and the chaplains.

## **Other services**

As a student at the University of the Arts London, you also have access to other services including the College shops, modern foreign language classes at the Language Centre, Study Support (where available) and the catering facilities at all sites. The Students Union of the University of the Arts London offers students representation, resources and recreation. For more information, please visit [www.suarts.org](http://www.suarts.org).

## **International students**

The international student body is one of the characteristics of the University that contributes to the range and quality of the intellectual pursuits within the research community. Each College has an International Student Co-ordinator

(ISC), who leads international affairs at the College, and is the first point of contact for international students for academic matters.

Within Student Services at your College, or at High Holborn, a Student Adviser can help with queries about immigration, money matters, or your rights in the UK, like banking, part-time work and healthcare. The Student Adviser (International Students) ensures that Student Services support is available and relevant to all our international students. The Student Services website [www.arts.ac.uk/student](http://www.arts.ac.uk/student) has the latest information on practical issues that affect international students and hosts a mailing list aimed at the University's international community.

All University of the Arts London students have free membership of International Students House, which offers a programme of social and cultural events, sport facilities, a travel club, and a residential programme at Christmas. You can also arrange free home stay weekends with British families through the HOST programme. More information is available from Student Services or at [www.arts.ac.uk/student](http://www.arts.ac.uk/student). The University of the Arts London's Language Centre is based at High Holborn. The Centre co-ordinates language provision across the University and language learning is directly related to the areas of art, design and communication offered by the Colleges. All students are welcome to visit the Centre and make use of the variety of course books, audio and videotapes and foreign language films. For international students English as a Foreign Language (EFL) classes are provided throughout the academic year. For more information, visit the Language Centre website at [www.arts.ac.uk/international/languagecentre.htm](http://www.arts.ac.uk/international/languagecentre.htm).

## **Financial support**

Listed below are a number of possible sources of funding for your studies. For further information and contact details, please refer to Intro: Your introduction to life at University of the Arts London, or look up the student services Intranet site at [www.arts.ac.uk/student/](http://www.arts.ac.uk/student/)

## **University of the Arts London research studentships**

The University of the Arts London offers a small number of studentships most years, typically for applications by 1st March for an October start. Further information is available from the RMA Student section. Details of the competition will be emailed to students when confirmed and advertised to external applicants in the national press.

## **Arts and Humanities Research Council studentships (AHRC)**

The University has a Block Grant Partnership (BGP) award from the Arts and Humanities Research Council. This award offers a set number of AHRC Doctoral studentships within the University in the following three areas:

- Communications, Graphics & Photography
- Design
- Fine Art

The University of the Arts London is responsible for the recruitment and selection of students for AHRC funded studentships. All applications for an AHRC award must be made directly to the University using the UAL Application for a Research Degree form (RF1).

For more information about the AHRC please visit [www.ahrc.ac.uk](http://www.ahrc.ac.uk)

## **Staff development**

For those students who are also employed as staff by the University of the Arts London, it is possible that your College may contribute to the cost of your fees from the Staff Development Budget. Please check details with your College Associate Dean of Research and refer to Section A13 (p75) for guidance on hours.

## A3. Facilities for research students

This section describes in brief the range of facilities available to research degree students from libraries to computers to workshops. It also makes reference to issues of Health and Safety, which you should read carefully.

### Library and learning resources

Full details are available in the Researchers Guide to Libraries & Information Services, a section of the RNUAL Guide, copies of which are distributed to new students at enrolment. For extra copies, please contact the RMA Student Section. Alternatively the information is available on the Library and Learning Resources Website, the i-page at [www.arts.ac.uk/library/](http://www.arts.ac.uk/library/)

### Information technology

The University of the Arts London has installed a computer network that links all sites through the University of the Arts London Intranet and provides access to the Internet. The Centre for Learning and Teaching in Art and Design (CLTAD) offers a series of programmes, seminars and one-day and two-day workshops that will help enhance practice and understanding of e-learning. Dedicated e-learning support sessions on using Blackboard, Turnitin, Podcasting, and other e-learning tools are also available throughout the year. Please visit: [www.arts.ac.uk/cltad/](http://www.arts.ac.uk/cltad/) for further details.

The centrality of IT to the conduct of research will vary from student to student, and the provision of computers is therefore appropriate to the nature of the research. However, all research students have access to a PC and are issued with an e-mail address on enrolment. Courses in several software packages, introductions to the Internet and Intranet and other IT courses are provided by the colleges. Much leading edge research in the fields of art, design and communication relies on the latest computer-aided design practices. Students are encouraged to integrate computer technology with design practices, thus developing new and powerful design methods. Courses in the application of computers to design are provided by subject specialists. The Code of Conduct for users of IT and the Intranet is published on the Intranet at <http://intranet.arts.ac.uk/itt/conduct/> It is essential that you read and understand the requirements of this code.

### Theatres, studios and workshops

Together, the four colleges of the University have an exceptional range of specialist facilities, which include photographic studios and darkrooms, broadcast facilities, 3D theatre studios and studios for art, design, fashion, textiles and craft. Research degree students will normally be located near to the



facilities that they require, and access to facilities in other colleges can usually be arranged by agreement in advance, as necessary.

The University of the Arts London has its own central London theatre, the Platform Theatre, at King's Cross and one at Wimbledon, several galleries including the University Gallery at High Holborn, the Lethaby at Central Saint Martins, the Eckersley Gallery at the London College of Communication, the Centenary Gallery at Camberwell, The Gallery in Wimbledon and the Fashion Space at LCF.

## **Health and Safety**

Studio based research depends on the use of many specialised workshops and studios. Students will be expected to be familiar with the relevant Health and Safety regulations and procedures, which apply in all University workshops, laboratories and studios. All safety rules in the use of machines and hazardous substances, including wearing protective clothing as required, must be followed. This is to ensure not only your safety but also to ensure the safety of your fellow students and staff. Colleges also have a legal responsibility to ensure that students comply with all its safety rules. A reference copy of the University of the Arts London's Health and Safety Policy is available in all college libraries. Each College has also produced a statement of local arrangements. All students should discuss with their Director of Studies the appropriateness of conducting a written risk assessment (please see below) on an annual basis.

### **Health and Safety including guidance on risk assessment**

The Management of Health and Safety at Work Regulations 1999 require nearly all workplace activities to be risk assessed and for the assessments to be written down and kept. Research falls into the category of work activity and most research projects should be risk assessed.

The assessment of an ethical dimension to research is not the same, and does not include, a suitable and sufficient assessment of health and safety risks. Therefore a health and safety risk assessment should be completed as a separate exercise to the research ethics application, using the University Health and Safety risk assessment form and the guidance notes, to document the assessments, available from [www.arts.ac.uk/healthandsafety/manual/](http://www.arts.ac.uk/healthandsafety/manual/) (download at risk assessment).

Risk assessment will identify potential problems and solutions and should be useful when devising and managing work. Risk assessments are also legal documents, they can be used to defend or prosecute a legal or civil case. Unless there is a written record of the risk assessment process it is usually assumed that no assessment was carried out. Only trivial risks do not need to be risk assessed. Trivial risks would include using the research offices in

colleges, computers and desk space. Research in libraries, archives and other collections of data in the UK will also generally be considered trivial. Generally, University insurance will cover authorised University activities once you have registered. For advice on travel and insurance please contact the University Finance Department on 020 7514 2306.

Examples of non-trivial activities that should be assessed include but are not limited to:

- Overseas travel, particularly in dangerous or remote areas. The Foreign and Commonwealth Office provides useful information about the status of countries. The FCO also has a scheme whereby travellers can register their details and if there is a disaster or other problem in a country they will check the database and have a head start in finding people. [www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country/](http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country/)
- Work involving the public. There can be risks to the researchers and the public.
- Work involving potentially violent and aggressive people.
- Working outside normal hours.
- Trials of cosmetic products
- Hosting events or gatherings either in university spaces or off site.

It will be necessary to complete COSHH assessments as well, if research includes the use or production of a hazardous substance. If your project will be associated with intolerable, substantial or significant risks you may wish to consult your College the Health and Safety Advisor when completing your risk assessment. The risk assessment must be signed off by your Director of Studies (in the section titled 'manager' on the form) before any research involving more than trivial risk is undertaken.

You must attach a copy of your completed signed-off risk assessment form to your Application to Register (RF3 – see Section A7 of this handbook. The research proposal and registration). Copies of the signed-off risk assessment must also be kept by you and your Director of Studies and a copy sent to the RMA Student Section.

## A4. Research student training and seminar programme

Research training is offered on a cross-college basis for all MPhil/PhD students at the University of the Arts London. Training in research methods and skills and support for research in progress is provided through the Research Network at the University of the Arts London (RNUAL). RNUAL is co-ordinated by the Director of Doctoral Programmes, Professor Helen Thomas. The RNUAL programmes, detailed in the RNUAL Guide, are delivered by a wide range of lecturers and experts from both within and outside the University. Additional opportunities for training in teaching for research students are offered by the Centre for Learning and Teaching in Art and Design (CLTAD).

### Personal Development Planning (PDP)

All research degree students should develop a Personal Development Plan (PDP). Personal development planning is 'a structured and supported process undertaken by an individual to reflect upon their own learning, performance and/or achievement and to plan for their personal, educational and career development.'

Personal development planning is essentially a process of:

- thinking about where you are now,
- reflecting on your strengths and improvements you would like to achieve;
- planning where you want to get to and what skills and knowledge you will need to develop to get there;
- undertaking your plan of work;
- recording the development you make;
- identifying when you have reached your goal;
- reflecting on your learning and achievement and, in the light of this,
- planning where you want to go next.

A key outcome of PDP is enabling students to progress towards becoming independent, autonomous and self-aware learners. Identifying strengths and weaknesses, reflecting on your activities and achievements and planning the next steps are integral to successful PDP.

In the context of a research degree, your PDP should be developed in and through discussions with your supervisory team and especially when completing the annual report and the Training Needs Analysis (see below). This structured approach should be guided by the Learning Outcomes for your research degree and result in the generation of a Personal Record, listing

goals, achievements and training undertaken. While you undergo the process of generating a Personal Record you should reflect upon your own learning, performance and/or achievement to identify gaps in your knowledge and/or ability and to plan how your training needs will be met. Although discussion with the supervisory team is essential in the process of personal development planning, especially in deciding on actions to be taken, you have ownership of your own personal development records and of its structure. You may find it useful to write a reflective learning journal and/or to keep a 'log' of activities, meetings and training attended as your research progresses. Maintaining a record of achievement alongside this as a separate list can be invaluable when you prepare a curriculum vitae or write applications for jobs or grants (see employability below).

## **Training Needs Analysis**

It is your supervisor's responsibility to seek to ensure that you receive the appropriate training, but your supervisor should also support and encourage you to identify your training needs, through the use of PDP, and decide on either actions to be taken to address these needs or formal courses which should be attended. You should be asked to consider your training needs at the first meeting with your supervisors and annually prior to the preparation of your annual report. Your supervisors will be responsible for completing a training needs analysis for you on the basis of these discussions, which will form part of your annual report. Research students have access to a varied programme of formal training sessions through RNUAL designed to support their personal development and competence in general research skills. These skills may be present on commencement, explicitly taught, or developed during the course of the research. It is likely that even the experienced student will need further training in certain specific areas, whether these relate to their subject or are more general research skills.

The University regards training in research skills and techniques as a key element in the development of a research student which will contribute to the successful completion of the thesis and to their training as a competent researcher.

An outline of skills expected to be developed by research students and learning outcomes is provided later in this section. These have been drafted with regard to the Skills training requirements for research students, taken from a joint statement by the research councils/AHRC. To view the statement please go to: <http://www.rcuk.ac.uk/documents/researchcareers/jsstrainingrequirements.pdf>

## **Research Network for University of the Arts London (RNUAL)**

Details of formal courses that are available on a University-wide basis are published in the RNUAL Guide, which is updated annually. It is also available on the RNUAL blackboard site. RNUAL is the platform for all courses for MPhil/PhD offered across the University on a cross-college basis. This platform includes the main RNUAL programme in three intensive weeks, RNUAL workshops for all years, RNUAL's online learning on blackboard, some English language training, access to aspects of MA courses across the UAL and by UAL's Research Centres.

In their first year, all students are required to attend the three intensive weeks of RNUAL in September/October, February and June. These three weeks offer important opportunities to hear a range of eminent speakers in their fields discuss different research methods and for students to hear their peers present their work. Second year students are asked to present their work in February and first year students are asked to make a similar presentation of work in progress in June. All first year students must have 100% attendance at each of the three intensive weeks (there are exceptions for students based at University College Falmouth). You should contact the RMA Student Section as soon as possible if this is likely to be problematic for you. Second year students who are undergoing Confirmation, regardless of mode of study, must attend the full day of their presentation in the second intensive week. Non-attendance at all mandatory training may affect your progress.

All other courses offered through RNUAL are optional and students are advised to discuss their attendance with supervisors in the light of their training needs and developing plans for research work. In a Personal Development Plan (PDP) a student's training in research does not arise solely from formal course provision and a PDP should also take account of other opportunities for personal development. These may be self-directed or arise from other career development opportunities available within or outside UAL (e.g. participation in conferences, professional networks, external workshops, lecturing or teaching), through consultations with experts in the field of research and/or supervisor support and mentoring.

## **Personal Development and Employability**

UAL recognises that research degree programmes support personal development as well as the development of subject knowledge and research skills. The development of wider employment-related skills, however, should not detract from the core objective of a PhD, which is to make an original contribution to knowledge, through work leading to publication or public presentation. A personal record may prove useful for future employment, for writing CVs and grant/job applications. Employability has been defined as 'A

set of achievements – skills, understandings and personal attributes – that make graduates more likely to gain employment and be successful in their chosen occupations, which benefits themselves, the workforce, the community and the economy’ (LTSN/ ESECT). Employability is different from the raw HESA measurement of employment. Being employed means having a job; being employable means having the qualities to maintain employment, plan for progression and manage the next career step. UAL recognises that an individual’s achievements are derived from the total student experience while in HE – whether academic, extra curricular or in work experience. Employability is defined as more than a set of skills – it is the ability to articulate the learning from all these experiences.

Documented research indicates that employers want graduates with knowledge, intellect, willingness to learn, self-management skills, communication skills, team working and interpersonal skills. These sets of achievements are clearly highly compatible with academic values; there need be no tension between the concept of employability and the academic curriculum.

### **Learning Outcomes for a PhD**

On completion of the research programme and in relation to your practice in art, design and communication, students should have shown evidence of being able:

- to discover, interpret and communicate new knowledge and understanding through original research and/or scholarship of publishable quality which satisfies peer review;
- to present and defend research outcomes which extend the forefront of a discipline or relevant area of professional practice;
- to demonstrate a systematic and extensive understanding and mastery of the knowledge, concepts, information and techniques relevant to research and scholarship at the forefront of the discipline or area of professional practice;
- to exhibit mastery and innovation in the exercise of generic and subject-specific intellectual abilities;
- to take a proactive and self reflective role in working and to develop professional relationships with others;
- independently and proactively to formulate ideas and hypotheses and to design, develop, implement and execute plans by which to evaluate these;
- critically and creatively to evaluate current issues, research and advanced scholarship in the discipline.

## Learning Outcomes for an MPhil

On completion of the research programme students should have shown evidence of being able:

- to interpret and communicate knowledge and understanding through research and/or scholarship of publishable quality which satisfies peer review;
- to present and defend research outcomes which extend the forefront of a discipline or area of professional/clinical practice;
- to demonstrate a systematic understanding and mastery of the knowledge, concepts, information and techniques relevant to research at the forefront of the discipline or area of professional practice;
- to exhibit mastery and innovation in the exercise of generic and subject-specific intellectual abilities;
- to take a proactive and self reflective role in working and to develop professional relationships with others;
- proactively to formulate ideas and hypotheses and to design, develop, implement and execute plans by which to evaluate these;
- critically to evaluate current issues, research and advanced scholarship in the discipline.

## Research Skills

### MPhil and PhD Skills Development

At induction and at your annual monitoring meeting, you will be asked to discuss your development with regard to the following skills. You will be asked to produce a self-audit each year and this list of research and key transferable skills has been prepared to enable you to reflect on how your current work could be described in relation to this list and to help identify areas where you may wish to undertake additional training.

### Academic and Research Skills

1. Research Methods and Methodology – The ability to analyse critically, summarise and evaluate your findings, to demonstrate understanding of relevant research methodologies and their appropriate application in your field of study.
2. Analysis and Synthesis – The ability to assemble, comprehend and interpret appropriate material relevant to your research (through close reading or a particular theoretical approach, for example).
3. Record Keeping – The ability to keep accurate and comprehensive records in a systematic fashion, which demonstrates academic purpose and probity (e.g. Footnotes and Bibliography).

4. **Technical and Discipline Related Skills** – Awareness of any legal or ethical issues related to your research (such as the Data Protection Act, copyright, Intellectual Property Rights or relevant health and safety issues). The ability to demonstrate responsible working practices.
5. **Presentation of Research** – The ability to structure and present information to an audience in written and/or oral modes, using an appropriate narrative structure for the content of your research. Do you have the audio-visual or information technology skills to present your research?
6. **Academic Communication** – The ability to write clearly and in a style appropriate for the purpose (for example, a thesis, a seminar paper, a journal article). The ability to constructively present and defend research outcomes at seminars and viva examination.
7. **Teaching and Learning Skills** – The ability to convey structured information in an appropriate form in different learning environments by stating clear objectives, being aware of individuals learning needs and their assessment.

## Key Transferable Skills

1. **Managing your Project over Time** – The ability to schedule multiple and specific research tasks within a designated research period, and monitor progress.
2. **Personal communication** – The ability to converse effectively with individuals, to appreciate their viewpoint, and to give and receive constructive feedback.
3. **Problem solving** – The ability to define and apply appropriate strategies for the solution of conceptual and/or practical problems, and to demonstrate self-reliance.
4. **Critical thinking** – The ability to develop theoretical concepts and to think in a purposeful, original, reasoned and focused way.
5. **Team work** – The ability to work in co-operative and productive partnerships with supervisors, fellow graduate students, fellow teachers and support staff.
6. **Foreign languages** – The ability to develop knowledge of foreign or classical languages to an appropriate level.
7. **IT and computer skills** – The ability to use word processing, bibliographical databases and presentation packages effectively.
8. **Career planning** – The ability to take ownership of your career progression, to set realistic and achievable career goals, and identify and develop ways to improve employability by continued professional development. Ability to present your skills, personal attributes and experiences through effective CVs, applications and interviews.



## 9. Other skills

### Transferable (Key) Skills are also defined for a PhD as:

- the skills necessary for a career as a researcher and/or for employment in a senior and leading capacity in a relevant area of professional practice or industry;
- evaluating their own achievement and that of others;
- self direction and effective decision making in complex and unpredictable situations;
- independent learning and the ability to work in a way which ensures continuing professional development;
- contributing to the significant and major development of professional/ disciplinary boundaries and norms.

### and for an MPhil as:

- the skills necessary to undertake research at a higher level, for a future career as a researcher and/or for employment in a higher capacity in industry or area of professional practice;
- evaluating their own achievement and that of others;
- self direction and effective decision making in complex and unpredictable situations;
- independent learning and the ability to work in a way which ensures continuing professional development;
- critically to engage in a contribution to the development of professional/ disciplinary boundaries and norms.

## A5. Committees

This section describes the function of the committees governing Research Degrees. Research Degrees are governed by three committees: the College Research Degrees Sub-Committee, the University Research Degrees Sub-Committee and (if applicable to the research proposal) the University Research Ethics Sub-Committee.

### College Research Degrees Sub-Committee

When complete, the Director of Studies should submit the application for registration (RF3) to the RMA Student Section to forward to the College Research Degrees Sub-Committee. The College Research Degrees Sub-Committee (or its Chair) will ensure that:

- i) a suitable programme of research can be defined, supervised and resourced;
- ii) arrangements with any collaborating establishments are clearly defined and documentation attached to the application;
- iii) the mode and length of study have been agreed and suitable research methods training made available;
- iv) a suitable source of advice on the quality of the proposal has been identified outside the proposed supervisory team;
- v) the student and supervisors are aware of and have agreed to the Code of Practice and the University's student charter;
- vi) that the application meets the Code of Practice on Research Ethics, and that if required ethical approval is being sought.

There are two possible outcomes of this stage of the consideration of the RF3, either:

- i) the proposal is considered satisfactory and is forwarded to the Research Degrees Sub-Committee by the Chair of the Committee;
- or
- ii) the proposal is not considered satisfactory and is returned to the student for development before being forwarded to the Research Degrees Sub-Committee by the Chair of the Committee.

## University Research Degrees Sub-Committee

The Committee normally meets twice a term. Applications for registration and other material for the consideration of the Committee should reach the RMA Student section at least two weeks before a meeting. The dates of the meetings are set in advance of the start of each academic year, and can be found on page 120.

The University Research Degrees Sub-Committee will decide whether to:

- i) approve the application; or
- ii) refer the application back to the candidate for further information or specified modifications; or
- iii) reject the application.

In considering the application for registration, the University Research Degrees Sub-Committee will seek to satisfy itself as far as possible on the following points:

- i) the aims of the study are clearly stated, are achievable in the time and with the resources available, and can be translated into a realistic programme of work;
- ii) the application makes appropriate acknowledgement of relevant literature in the proposed area of research, defines the context of the work to be undertaken, and summarises the current base of knowledge in the subject area. The application should also define the student's particular area of interest within this body of knowledge and justify why it is pertinent in the context of existing research;
- iii) a clear description and justification of the proposed methodology is presented;
- iv) an indicative statement is made in respect of the proposed creative work to be accomplished and/or information to be assembled in the conduct of the research (whether from primary or secondary sources), and that such material can be realistically produced in terms of both time and accessibility;
- v) that proposed methods of analysis are clearly stated and that such analyses are appropriate to the overall objectives of the study;
- vi) the interpretation of the analyses (in terms of the possible ranges of outcomes) has been given appropriate consideration;
- vii) an indicative statement is made in respect of the possible types of outcomes that the study might reach;
- viii) the application contains a summary of the contents of the research;
- ix) the application contains a timetable for the work, together with a statement of how such a programme will be managed;

- x) that, taken as a whole, the proposal is of an appropriate standard to be registered as an unspecified research degree at the University of the Arts London.

In addition, the Committee will ensure that, where appropriate, adequate consultation is undertaken with external subject specialists; that the proposed supervisory arrangements are satisfactory; that the candidate is suitably qualified; that an appropriate programme of related studies can be provided for the candidate; that thought has been given to any possible need for confidentiality. The Secretary of the Committee will inform you and your supervisory team of the outcome of the meeting, and will provide an extract from the minutes if appropriate.

## **University Research Ethics Sub-Committee**

It is the responsibility of University Research Ethics Sub-Committee to:

- i) consider and advise as appropriate on legal, moral and ethical issues relating to research.
- ii) be responsible for the provision of an infrastructure which would facilitate the adherence to the principles of beneficence and non-maleficence, and thereby safeguard the interests of researchers, participants and those on whom the research might impact, directly or indirectly.
- iii) establish Codes of Practice on Ethics to be promulgated within the University.
- iv) review on a regular basis and recommending changes to the Codes of Practice on Ethics in the light of external and internal practice and developments.
- v) decide on applications for research ethics approval that are assessed as more than minimal risk by College Research Degrees Sub-Committees.
- vi) advise the Research Standards and Development Committee or the Research Degrees Sub-Committees as appropriate, on legal, moral or ethical issues relating to research.
- vii) oversee the Research Ethics training provided for research degree students at the University.

## A6. Fees & enrolment

This section tells you the fees for the current academic year and explains the annual enrolment process (i.e. payment of fees, ID Cards) in some detail.

### Fees

Fees may change from year to year; please consult the RMA Student Section for the most recent information. In 2011-12, the fees are as follows:

	Home/EU	Overseas
Full-time	£4,200	£12,700
Part-time	£2100	£6,350

All students enrolling at the University are required to pay the fee as set by the University on an annual basis. These fees may change from year to year. You should consult the RMA Student Section for the most recent information. Any student who changes their mode of study during their period of registration will be required to re-enrol in the new approved mode of study as this will mean that a new contract with the University commences. All students are required to pay the fees in full at the point of enrolment or re-enrolment.

When you sign the enrolment form you are agreeing that full fees are due for the year even if you do not complete the course. Please note that fee refunds are not automatic. Further details on fees and fee refunds can be found at: [www.arts.ac.uk/research/degrees/howtoapply/tuitionfees/](http://www.arts.ac.uk/research/degrees/howtoapply/tuitionfees/)

Part-time students who enrolled at the University in 2005-06 academic year or earlier, and whose enrolment has not lapsed during the period, will be eligible to pay the lower part time fee. This also applies to similar full-time students (2005-06 or earlier uninterrupted enrolment) who transfer to part-time during their course of study.

Some students may be eligible for writing-up fees:

### Writing Up Fee

A 'writing up' fee of £200 may be charged for both full and part time Home/EU and Overseas students once the student has undergone the following minimum registration period:

	Full-time	Part-time
PhD	2 years	3 years
MPhil	2 years	2 years

- i. Students must have submitted a complete draft of their thesis prior to the beginning of their proposed writing up year to their supervisory team and it must be approved by the College Associate Dean of Research
- ii. Students who do not then submit their thesis for formal examination by the end of the writing up year and enter a further year of study, will pay the full fees for that subsequent year. The fees will be charged pro rata with the length of study time required (the smallest unit of which shall be 3 months, then 6, 9 and finally 12).

Writing Up Status can only be approved at the start of the academic year (i.e. October). Please ensure that you apply for Writing Up status in good time before the start of the appropriate academic year using the 'Application for Writing Up status' (form RF9a). Remember you will need to have the RF9a signed by both your supervisory team and the College Associate Dean of Research before it can be considered by the University Research Degrees Sub-Committee.

## Enrolment

The letter offering you a place to undertake a research degree at the University of the Arts London will indicate the terms of your acceptance as a research degree student. This will cover, amongst other things, the fees payable, the college at which you will be based, your Director of Studies, and will confirm the date on which your enrolment begins.

Enrolment is the process by which you are formally recorded as a student of the University of the Arts London and takes place in late September each year. You will be advised of dates closer to the time. Students are normally enrolled by post unless there is a significant change of circumstances. Any fees due must be paid upon enrolment and this may be done by Visa or MasterCard online via the UAL Registry website (proof of payment – by email – must be forwarded to the RMA Student Section) or by cheque (made payable to The University of the Arts London). Please note that we do not accept cash payments.

If you are being sponsored or are in receipt of an award then you will need to bring correspondence confirming this.

Upon payment of fees, you will be issued with a student ID/ library card and an enrolment confirmation slip. If you are enrolling for the first time, your account

for the IT network and a University email address will be generated. New students should also send a passport sized photograph of themselves for the ID Card. Every student must re-enrol at the start of every academic year, by the 1 November at the very latest (please see below), and enrolment will normally be dependent on the payment of fees and the clearance of any existing debts owing to the University of the Arts London.

### **Enrolment – new and continuing students**

All students should note that the University has a formal cut-off point of the 1st November for postgraduate research student enrolment and re-enrolment each year. Any student – new or continuing – who has not returned their enrolment form and paid fees by this date will not be permitted to continue and the University will begin withdrawal proceedings. A withdrawal form will be sent to your Supervisory Team and the College Associate Dean of Research for completion two weeks prior to the cut-off date. If you are experiencing any problems with enrolment or payment of your fees then please ensure you contact the RMA Student Section as soon as possible.

Once the enrolment fee has been paid, and you have been formally enrolled, you are entitled to use the University's learning resource facilities and to appropriate supervision to develop your research proposal and plan of work for consideration by the Research Degrees Sub-Committee (RDSC). The University of the Arts London's 'Application to Register for a Research Degree' (Form RF3) is used for these purposes. The period of enrolment (without registration) may not normally exceed 12 months. Details of the registration process and the relevant regulation can be found in Section A7 (page 32).

While every effort should be made by yourself and the University to ensure that your proposal is fully developed and that you progress smoothly, it is important to understand that enrolment at a College of the University is the first stage of your period of study and does not guarantee that your registration will be approved, or that your programme of research will ultimately be confirmed for registration for MPhil or PhD. Both these stages are conditional upon the approval of the Research Degrees Sub-Committee (refer to Section 3 of the Regulations (p4), Section 4 (p5) and Section 6 (p6)). Students will normally make their Application to Register within 3 months of enrolment to the College Research Degrees Sub-Committee; then within 6-9 months to the Research Degrees Sub-Committee (RDSC). Please note that if the proposal contains any ethical considerations, the research ethics section of the RF3 must be completed and be considered at the College Research Degrees Sub-Committee for referral to the Research Ethics Sub-Committee, if it is deemed to be more than minimal risk.

## A7. The research proposal and registration

This Section explains in detail the requirements and processes involved in becoming registered for a research degree.

### Completing the RF3

After enrolment, you will begin to develop your initial proposal, as set out in your application for study at the University of the Arts London. Your Director of Studies and the second supervisor(s) will guide you through this process, which begins with the completion of the Application to Register for a Research Degree (RF3). Please make sure that all the relevant sections are completed fully and that all forms are properly signed and dated.

The completed RF3 must be accompanied by a short form CV (RF2) for each member of your supervisory team. The RMA Student Section will provide the RF2. Please remember that if your proposal contains any ethical considerations, then you must have completed the research ethics section of the RF3. Please note that you will not be registered until any ethical issues have been addressed and final approval has been obtained either at the College Research Degrees Sub-Committee or at the University Research Ethics Sub-Committee. Your Director of Studies is the main source of advice for completion of the ethics and health and safety risk assessment aspects of your RF3.

The Application to Register for a Research Degree (RF3) requires a statement of intent regarding the degree which you ultimately wish to complete (i.e. an MPhil or PhD). It is important to note that the University of the Arts London does not register candidates for a specific degree at the outset. The application is to approve registration for an unspecified research degree. MPhil or PhD registration is only approved after the confirmation process has taken place (refer to Section A9 and Section 5 of the Research Degree Regulations, p6). Your application will also require some basic information about your research degree, a detailed exposition of your proposed programme of research and details of your supervisory team. You should follow closely the guidelines regarding your programme of research (refer to Section C6, page 125).

The completed form must be approved by:

1. Your supervisory team, then
2. Your College Research Degrees Sub-Committee, then
3. The University Research Degrees Sub-Committee, and (if applicable)
4. The University Research Ethics Sub-Committee

The diagrams on pages 122 and 123 are a helpful indication of the timeframe involved when applying for Registration, please read this carefully. In broad terms, you should aim to submit your completed RF3 to the College Research



Degrees Sub-Committee by the end of the autumn term and to have your College RDSC-approved RF3 submitted to the University Research Degrees Sub-Committee by the end of the Spring Term. At the very latest, all RF3s should be forwarded for consideration to the Research Degrees Sub-Committee by the last meeting of the summer term (June). Failure to produce an adequate RF3 by the last meeting of the year (June) may result in the discontinuation of your studies with the University. The term dates can found on page 120.

Please check with the RMA Student section for College Research Degrees Sub-Committee dates and deadlines for papers.

The dates for the University Research Degrees Sub-Committee in 2011/2012 are as follows:

**Autumn Term:** 7 December 2011

**Spring Term:** 9 February 2012 and 1 March 2012

**Summer Term:** 3 May 2012 and 7 June 2012

Section 3 of the Research Degree regulations, relating to Registration, is outlined below.

### **3. Registration**

- 3.1 Following enrolment students will normally make their Application to Register for a research degree, which will also address any ethical issues, to the College Research Degrees Sub-Committee for consideration, then to the University Research Degrees Sub-Committee for approval within the first year of study.
- 3.2 A student may register on a full-time or part-time basis (subject to any visa restrictions).
- 3.3 College Research Degrees Sub-Committees will consider applications to register for an unspecified research degree and decide whether:
  - i) to refer the proposal back to the student and supervisors for further information or specified modifications; or
  - ii) to accept the proposal and forward it for approval to University Research Degrees Sub-Committee.
- 3.4 University Research Degrees Sub-Committee will consider all applications to register for an unspecified research degree and decide whether:
  - i) to approve the proposal and confirm the students registration;
  - ii) to refer the proposal back to the student and supervisors for further information or specified modifications; or
  - iii) to reject the application.

- 3.5 In considering an application for registration, University Research Degrees Sub-Committee will consider the applicant's proposed programme of research, which should indicate:
- i) the topic or area to be investigated;
  - ii) the problem, hypothesis or questions to be systematically investigated;
  - iii) the methods and techniques to be used in the study;
  - iv) the relationship of the proposed research to the published literature and to current research in the applicant's field; and
  - v) the contribution to knowledge (for the degree of PhD) or scholarship (for the degree of MPhil) that the thesis would make.
- 3.6 University Research Degrees Sub-Committee will also consider the ability of the University to provide an appropriate supervisory team and adequate resources for the proposed programme of research.
- 3.7 Exceptionally, the Research Degrees Sub-Committee may impose conditions on registration to safeguard the standard of the award.
- 3.8 Following Research Degrees Sub-Committee approval of the student's registration for an unspecified research degree, the student has a period of normally between 12 and 18 months (if full-time) or 24 to 30 months (if part-time) before which he/she can make an application to transfer to the specified research degree MPhil or PhD. This period is referred to as the probationary period.
- 3.9 If there are any ethical issues then registration is also dependent on the approval of the project proposal by the Research Ethics Sub-Committee. The research ethics form should be considered by the College Research Degrees Sub-Committee in the first instance to decide if the project represents minimal risk or more than minimal risk. If the former, the College Research Degrees Sub-Committee will approve ethics dimension of the proposal on behalf of Research Ethics Sub-Committee. If the project represents more than minimal risk the ethics form will be forwarded to the University Research Ethics Sub-Committee for approval.

#### Registration periods

3.10 Registration periods are as follows:

	Min Duration	Expected Duration	Max Duration
<b>MPhil (Full-time)</b>	1 year 3 months	1 year 9 months	3 years
<b>PhD (Full-time)</b>	2 years	2 years 9 months	4 years
<b>MPhil (Part-time)</b>	2 years	3 years	6 years
<b>PhD (Part-time)</b>	3 years	5 years	8 years

- 3.11 Where a student applies to change from full time to part time study or vice versa, the minimum and maximum registration periods shall be calculated on a pro rata basis. One year of full time study will be considered as being equivalent to 2 years of part time study.
- 3.12 Changes of mode of study will normally only be permitted on one occasion during the registration period, and will only take effect from the beginning of an academic year.
- 3.13 The date of formal registration will normally be backdated to the date of enrolment. The date of registration cannot be backdated to a date prior to enrolment.
- 3.14 Students who have transferred registration from another institution may have part or all of the period of their previous registration recognised subject to a satisfactory report from their new Director of Studies.
- 3.15 Students may not normally enrol for other degrees for the same period that they are registered for MPhil or PhD.
- 3.16 Where a student is prevented, by ill health or other good cause, from making progress with the research, the registration may be suspended for a specified period, normally for not more than one year at a time and no more than twice during the period of registered study.
- 3.17 If a period of suspension of 3 months or greater duration is requested prior to registration being approved the student's offer to study will be deferred for one year and fees charged pro-rata.
- 3.18 University Research Degrees Sub-Committee may exceptionally extend the period of registration beyond the maximum period.

## **The nature of the research**

Students may propose programmes of study in any field in which the University and the chosen College has suitable expertise, as long as the proposed programme is capable of leading to scholarly research that can be presented for assessment by appropriate examiners. The work submitted for examination may comprise both written and non-written material. A research degree is characterised by the sustained, rigorous and critical investigation of a defined subject, by the openness of the research methods and results to evaluation by others, and by the contribution to public knowledge and understanding of its outcome.

## **Research ethics**

In submitting your proposal for confirmation of registration you will also be signing up to the University of the Arts London's Code of Practice on Research Ethics. Please read the code carefully and give proper consideration as to whether your proposal meets the requirements of the code and whether it has any ethical considerations. If there is an ethical consideration, then you must

ensure your application addresses all the issues fully. Please refer to the Code of Practice on Research Ethics and the 'Guidance for Research Ethics Approval', both of which are available on the University's Research Website>Research Degrees>Current students. Your ethics application will be considered by the College Research Degrees Sub-Committee and may require the approval of the University Research Ethics Sub-Committee. You will not be registered until such approval is obtained. Your Director of Studies is the main source of advice for completion of the ethics and health and safety risk assessment aspects of your RF3. Additional advice may be sought from your College representative on the University Research Ethics Sub-Committee, membership details can be found at: <http://intranet.arts.ac.uk/committees/ResearchEthicsSubComPapers.php>

Please note that whilst you are undergoing ethical approval, you should not be presenting any research material which is still under consideration at the University Research Ethics Sub-Committee at a College organised event, or the First Year Symposium in June/July, or outside the University. If you are unsure of your status then please contact the RMA Student section. The Code of Practice on Research Ethics can be found in Annex 1 on page 76. Guidance on the University's policy on informed Consent when photographing people can also be found at the end of Annex 1.

## Registration periods

Students may study full-time or part-time (depending on any visa conditions). Full-time students are expected to devote during term time, an average of at least 35 hours a week to their research, and part-time students at least 16 hours per week. If you wish to undertake paid employment then please refer to A13 for details.

The date of registration with the University of the Arts London will be backdated by up to six months from the first of the month in which the Research Degrees Sub-Committee approves registration.

Typical registration periods are as follows (Regulation 3.10):

	Min Duration	Expected Duration	Max Duration
<b>MPhil (Full-time)</b>	1 year 3 months	1 year 9 months	3 years
<b>PhD (Full-time)</b>	2 years	2 years 9 months	4 years
<b>MPhil (Part-time)</b>	2 years	3 years	6 years
<b>PhD (Part-time)</b>	3 years	5 years	8 years

## Changes in Registration

Before requesting the University of the Arts London to make any changes, you should seek advice from your Director of Studies or the RMA Student Section. The University of the Arts London provides forms for all of these purposes, and these are listed in Section C5. Guidance on completing the forms is detailed on the forms themselves.

## Change of Mode

If you wish to change your mode of study from full-time to part-time study (or vice versa) the University will want to satisfy itself that you will be able to commit sufficient time to the project and that suitable adjustments can be made to the timetable for the work. When the Research Degrees Sub-Committee has given approval, both you and your Director of Studies will be informed, and your fee status and completion date altered as necessary. Changes of mode are normally only possible at the end of the academic year, coming into effect at the beginning of the new academic year. Please complete an Application for Change in mode or Supervisory arrangements (form RF9) and consult Section 3 of the Regulations relating to Change of Mode found on page 35.

## Writing Up status

Writing Up Status can only be approved at the start of the academic year (i.e. October). Please ensure that you apply for Writing Up status in good time before the start of the appropriate academic year using the 'Application for Writing Up status' (form RF9a). Remember you will need to have the RF9a signed by both your supervisory team and the College Associate Dean of Research before it can be considered by the University Research Degrees Sub-Committee.

## Suspension of registration

Suspension of registration may be granted if, for good reason, you are unlikely to be able to work on the project for a lengthy period (between three and twelve months), but still intend to complete it. You may suspend for a maximum of 12 months at one time. Please complete a Request for Suspension or Extension of Registration (form RF10) and consult Section 3 of the Regulations relating to Suspension of Registration found on page 35. Please note that you may be required to provide documentary evidence of any declared medical conditions cited in your reasons for suspending your study. If this is required, upon your return to study you will be required to provide proof that you are medically fit to resume your studies.

## **Extension of Registration**

In the case of a request for an extension, the Research Degrees Sub-Committee will consider the reasons for the delay, the length of extension requested and the revised timetable for completion. Normally, only one extension will be granted. Please complete a Request for Suspension or Extension of Registration (form RF10) and consult Section 3 of the Regulations relating to Extension of Registration found on page 35.

## **Maternity and Paternity Leave**

Maternity or paternity leave is not counted as a formal suspension request (i.e. as one of the two suspensions allowed during a student's registration period). Please complete a Request for Suspension of Registration (form RF10) and choose the 'Maternity Leave' or 'Paternity Leave' option (maximum of 12 months for maternity leave and a maximum of two weeks for paternity leave in line with nationally agreed legislation). For further details please see the guidance on the RF10 form.

## **Withdrawal of registration**

If you wish to withdraw your registration altogether, you or your Director of Studies should notify the College Associate Dean of Research and the RMA Student Section without delay, stating the reason for the decision using the Notification of withdrawal (form RF11).

## **Transfer from / to another institution**

For students who wish to transfer to another institution or to transfer to the University of the Arts London after withdrawing from another institution, please follow the procedures for 'research degree registration transfer procedures' set out in Annex 2 of this Handbook.

## A8. Supervision

This section details the structure of the supervisory teams and contains a Code of Practice which details the responsibilities and expectations of Supervisors and the Research Student. The relationship between you and your supervisors is crucial to the success of your studies. You will have a team of at least two supervisors, one of whom will be your Director of Studies, (the main supervisor). The Director of Studies will be a member of the University of the Arts London's staff, and wherever possible, second supervisors will also be drawn from University staff. It may be necessary however to use external second supervisors where the required experience of supervision is not available internally. The supervisory team as a whole is confirmed when the Research Degrees Sub-Committee formally approves your Application for Registration (form RF3).

Section 4 of the Research Degree regulations, relating to Supervision, is outlined below.

### 4. Supervision

- 4.1 A Director of Studies will be appointed by the College as part of the offer to study, and the supervisory team must be approved by University Research Degrees Sub-Committee at the point of registration.
- 4.2 The supervisory team will consist of at least two and normally not more than three supervisors, one of whom will be the student's Director of Studies. The Director of Studies will be a member of the University's staff and, wherever possible, the second supervisor will also be drawn from the University's staff, although external second supervisor(s) may be appointed where the appropriate supervision experience is not available internally. In addition to the supervisory team, advisors may also be appointed to contribute specialist knowledge or provide a link with an external organisation.
- 4.3 Each member of a supervisory team should normally meet the following criteria:
  - i) be a member of the academic staff of a university or recognised institution of higher education, or a research group of appropriate academic standing;
  - ii) have produced either high level creative work or publications or hold a research degree in the student's field of study (or in the general subject area if they are to be a second supervisor);
  - iii) have experience of supervising research in the student's field of study (or in the general subject area if they are to be a second supervisor) or have undertaken research supervisor training;
  - iv) not be reading for a research degree at UAL or any other institution\*;

- v) not have a close personal or professional relationship with the other supervisor(s) or with the student.
- 4.4 The responsibilities of supervisors are set out in the Code of practice for supervisors and research students (Annex 3 of this Handbook).
- 4.5 Within the supervisory team as a whole, there should be a combined experience of supervising at least two research degrees to successful completion. Where a student's ultimate objective is a PhD, at least one of these two completions should be a doctorate.

## **Supervisors' duties**

The duties of Directors of Studies and supervisors are set out in the Code of Practice (Annex 3 of this Handbook). The College Associate Dean of Research is responsible for ensuring that supervisors are aware of its contents before the application for registration is made. The Code of Practice is a very important document and you should read it carefully because it sets out what you should expect from your supervisors and, equally importantly, what they will expect of you. When the University has approved an application for registration, the RMA Student Section will write to all the supervisory team to re-confirm their duties.

## **Supervisory contact**

As a guide, the contact time for research students is as follows:

Full Time Students: contact time will normally be 20 hours per annum, averaged out over the whole period of study. Frequency of contact will vary at different stages of the programme of studies.

Part Time Students: contact time will normally be 10 hours per annum, averaged out over the whole period of study. Frequency of contact will vary at different stages of the programme of studies.

## **Nature of supervision**

Each student has a team of research supervisors and the frequency and variety of contact with each individual will vary, depending on the needs of the study at any given time.

A formal supervision may consist of:

- Written comments/guidance on the students' work;
- Equivalent communication via phone or email to a face-to-face supervision;
- Face-to-face meetings (the location of these meetings is a matter for negotiation between the supervisor and the student).



The key element to a formal supervision is that it is recorded (on the Supervision Record Sheet, see A9) as a discreet episode, with an agreed record of the issues discussed and any actions arising.

## **Frequency of meetings**

The frequency of supervisory meetings will depend on the stage the student has reached. Meetings may, therefore, be more frequent in the earlier stages of the degree and in the later stages. The University of the Arts London Code of Practice for Supervisors and Research Students states however that for a Director of Studies, the normal expectation for full-time students is that at least three formal (i.e. recorded) supervisions must take place each term (pro rata for part time students).

During key monitoring stages of the research such as registration and confirmation more regular contact is to be expected. The record of these three supervisions must be returned to the RMA Student Section with copies being held by the supervisors and student. Each Director of Studies will allocate appropriate supervisory time across the supervisory team at the beginning of each academic year, after agreement with the supervisory team and discussion with the student, according to the student's needs.

## **Changing supervisors**

If, during the course of the research, it becomes clear that the supervisory arrangements need to be altered, the first point of call is your Director of Studies. If they are involved in the change then the situation should be discussed with the appropriate College Associate Dean of Research. If they, in turn, are involved on a supervisory level, then you should contact the Director of Doctoral Programmes for further guidance. When agreement on the necessary changes has been reached, an Application for Change in Supervision arrangements (form RF9) should be completed (usually, but not always, by the Director of Studies) to apply for the University's approval of these changes. The form should be sent to the RMA Student Section for checking prior to submission to the Research Degrees Sub-Committee. The RMA Student Section will inform those involved of the Committee's decision.

## **Supervisor Absence**

If a supervisor is to be absent for one term or less then you should ensure that you meet with the other member(s) of the supervisory team throughout this period. If a supervisor is to be absent for longer than one term then arrangements should be made by the supervisory team, in conjunction with the College Associate Dean of Research, for a suitable replacement. If the replacement is to be a permanent change to the supervisory team then approval must be sought from the University via the Research Degrees Sub-Committee using an RF9 (Application for Change in Supervision arrangements).

If the replacement supervisor is to be a temporary replacement (one year or less) then this may be approved in the interim by the College Associate Dean of Research only and formally noted (along with a copy of the temporary supervisor's RF2) to the RMA Student Section by the College Associate Dean of Research.

## A9. Monitoring and progression

This section contains an overview of the monitoring processes and how a research student progresses through their study as well as more detailed descriptions of the key formal monitoring mechanisms. Informal monitoring of your progress takes place day to day through contact with your supervisory team and through participation in the RNUAL series programme. However, there are a number of normal feedback mechanisms that must be adhered to.

These are as follows:

### Keeping records and supervision record sheets

A record must be made of all formal supervisions. Your supervisor should have a supply of Supervision record sheets and if not, they are available on the research website. These forms provide a record for both the student and supervisor of issues discussed and action points agreed, and may be referred to at later meetings. These forms must be signed by those taking part in the supervision and copies should be forwarded by the supervisor to the RMA Student Section. Students are also advised to record the details of meetings of a more informal nature, for example by phone or email, and confirm their understanding of their discussion with the supervisor(s) involved.

### Annual reports

Annual Report forms (RF4) must be completed each year by the end of February. Since the report requires the input and signature of all of the supervisory team, it is vital that a meeting of the full supervisory team be held in the spring term every year so that the text of the report can be agreed and the necessary signatures obtained. The RF4 should be returned to the RMA Student section with the Training Needs Analysis form so that the College Research Degrees Sub-Committees can consider them. If any aspects of the report are unsatisfactory or there are issues for concern then it will be sent to the University Research Degrees Sub-Committee for further consideration. Please note that you do have a right to appeal against the decision made by both the College Research Degrees Sub-Committee and the University Research Degrees Sub-Committee (please refer to Section A11). The University of the Arts London's requirements are set out in Section 6 of the Research Degree regulations on page 48 of this handbook.

### Confirmation

The Confirmation meeting is the basis on which the supervisory team makes a recommendation to the University Research Degrees Sub-Committee that a student's degree registration be confirmed as MPhil or PhD. The RMA Student section will remind the student and supervisory team at the beginning of

the academic year that a Confirmation meeting should be carried out. The meeting will normally consist of the supervisory team and one other member of University of the Arts (academic) staff; exceptionally an external may be included if the topic is very specialised. An annual report form (Confirmation) RF4a must be completed after the meeting and should be returned to the RMA Student Section for comment by the College Research Degrees Sub-Committee. The report will then be forwarded to RMA Student Section for consideration at the May meeting of the University Research Degrees Sub-Committee. Please note that you do have a right to appeal against the Committees' decision (please refer to Section A11).

As a guide, your confirmation submission should normally be 10 to 15,000 words in length.

Section 5 of the Research Degree regulations, relating to Confirmation, is outlined below.

## **5. Confirmation**

- 5.1 Students are registered initially for an unspecified research degree, at which point they will have indicated their intended degree (MPhil or PhD). The application to confirm the degree for which they will be examined will normally take place after a probationary period of 12 to 18 months for full time students and 24 to 30 months for part time students.
- 5.2 In making their application to confirm the degree for which they will be examined, students are required to provide:
  - i. A contextual review (e.g. a literature or practice review) and an analysis of methods employed which may later form a chapter of the final thesis. If the student intends to submit a body of creative, practical work for the final examination, the contextual review will include a practice review. A practice review explains the significance of the student's own work in the appropriate historical, critical and theoretical context and should include documentation of the project.
  - ii. a detailed plan of the research project to completion and chapter outlines for the written text (and, if the degree includes a significant body of creative work, an indication of the likely form of the creative work at submission in terms of documentation or exhibition/ event).
  - iii. an abstract outlining the main thesis of the work.
  - iv. a comment on any new ethical considerations since Registration
  - iv. a written health and safety risk assessment (if applicable).
- 5.3 A formal meeting will be held and the student will be invited to make a short presentation on the work achieved to a confirmation panel.
- 5.4 The panel will normally consist of the supervisory team and one other member of University's academic staff; exceptionally an external may

be included if the topic is very specialised. The Director of Studies would normally be expected to chair the meeting. The independent member of the University's academic staff will lead the questions about the work presented and contribute their judgement on the student's work to the writing of the report.

- 5.5 The panel will complete the confirmation report at the same time as the meeting in order to record the supervisors' comments and recommendations and confirm supervisory arrangements.
- 5.6 At the Confirmation meeting the Director of Studies and Second Supervisor(s) are required to provide:
- i. an assessment of the student's work and progress since registration;
  - ii. comments on:- the contextual review; the analysis of methods employed; the schedule for the completion of the research project proposed by the student; and description of chapter headings and (if applicable) creative work to be submitted;
  - iii. details of the progress reviews undertaken during the probationary period, including a report of the meeting held in connection with this probationary report;
  - iv. details of any concerns they may have about the student's performance and ability to complete successfully a research degree within the maximum registration period;
  - v. details of supervisory arrangements, including details of the division of responsibilities between the supervisors, in relation to the assessment of the student's written work, frequency and approximate duration of supervisory sessions and the date of the most recent contact
  - vi. comments on the annual assessment of any new ethical considerations for which the student may need to seek approval;
  - viii comments on the annual health and safety written risk assessment of the student's research (if applicable)
- 5.7 The panel should make a recommendation in their report to University Research Degrees Sub-Committee as to whether the student's registration for either MPhil or PhD should be confirmed; the probationary period extended ((normally for a period of no longer than six months to enable items of further work to be completed – the panel should normally remain the same when reconvened to assess the student's progress); or their registration discontinued.
- 5.8 The independent academic is responsible for submitting the final report to the relevant the secretary of College Research Degrees Sub-Committee. The supervisors must ensure that, at the end of the meeting, the student has a chance to discuss any further issues with the independent academic privately The report will be sent to College

Research Degrees Sub-Committee for comment and a recommendation, and then to University Research Degrees Sub-Committee, which will consider the report and confirm the recommendation.

- 5.9 A copy of the report will be shown to the student after it has been approved by University Research Degrees Sub-Committee. The student has the right to appeal against the confirmed recommendation, according to the procedure laid out in the Section 11 of these Regulations.

#### Criteria to be considered

5.10 The purpose of this stage is to confirm that:

- i. the student has the knowledge and skills appropriate to completing their research programme;
- ii. that they have completed work of a quality to justify continuation and that the research methods are appropriate and practical;
- iii. that the proposed research is likely to make a significant contribution to knowledge (as set out in the requirements for the award of a PhD at the University); or that confirmation as M.Phil is more appropriate;
- iv. that a realistic plan is in place for completion of the research within the expected timeframe.

5.11 For those students where practice is to form a major component of the thesis, the papers presented must:

- i. clearly articulate the role and purpose of the practice within the overall research project;
- ii. identify how the creative/practical work (both achieved and anticipated) are likely to be included in the final submission and how this will be presented (as event or exhibition) and documented for final examination;
- iii. identify which research methods have informed their work and present the contexts (both historical and/or theoretical) in which they are working;
- iv. offer reflection on the development of their practice, with an emphasis on what can be communicated to others (i.e. as a contribution to new knowledge in the field).

## **Suggested Timetable**

Please note this timetable is based on the standard expectation of a spring term confirmation meeting. If students will fall outside of this timetable their requirements should be adjusted accordingly and in consultation with their supervisory team. AHRC regulations require that the AHRC funded students confirm their research degree as MPhil/ PhD before their final year of study.

## Action Time

1. Student and Supervisory team meet and agree plan of work (i.e. the nature and extent of the work required) leading up to the meeting and set dates. **October**
2. Director of Studies and Student negotiate, identify and invite a member of the University's academic staff to be the independent member of the Confirmation panel. **October/ November**
3. Student submits work required, for consideration by Supervisory team prior to meeting. **Jan/ February**
4. Meeting held & Annual report (Confirmation) completed by panel members. **Jan/ February**
5. Copies of the Report given to the student and sent to relevant secretary of the College Research Degrees Sub-Committee for consideration by this committee and referral to University Research Degrees Sub-Committee for approval. **March – May**

## Spring Research Seminar:

All students intending to confirm during the course of an academic year (October – September) must present at the February Research Symposium (RNUAL Block 2) for that year.

Please note that students should not normally be undergoing Confirmation if there are ethical issues relating to their Application to Register still outstanding. If you are unsure if you should be presenting then please contact the RMA Student Section for further guidance.

## Changes to your confirmed degree status

A student whose registration is confirmed for a degree of PhD and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply to the Research Degrees Sub-Committee for the registration to convert to MPhil, provided that the registration period for MPhil has not been exceeded.

## Monitoring progress of the research

Section 6 of the Research Degree regulations, relating to monitoring progress, is outlined below.

## 6. Annual reports

6.1 Each year the supervisory team will produce an annual report for their student, regardless of registration. The report should either be an agreed text or a composite report with at least a paragraph of comment from each of the supervisors. The report should cover the following points (although not all of them will be relevant to all students):

- an assessment of the student's progress over the past year;
- details of any academic contributions made by the student to publications, seminars, conferences, etc;
- details of any formal training undertaken;
- details of any concerns about the student's performance and ability to complete successfully a research degree within the appropriate maximum registration period;
- details of any changes in ethical considerations;
- any changes that require a review of the health and safety risk assessment;
- details of supervisory arrangements, including details of the division of responsibilities between the supervisors, in relation to the assessment of the student's written work, frequency and approximate duration of supervisory sessions and the date of the most recent contact;
- a recommendation:
  - i) that the student's registration should be continued for a further year; or
  - ii) that registration should be continued for a limited period subject to specified conditions, etc; or
  - iii) that registration should be discontinued.

6.2 Annual reports will be considered by College Research Degrees Sub-Committees and referred to University Research Degrees Sub-Committee only where there are matters of significant concern.



## A10. Submission and examination

This section describes in detail the processes involved in the submission of your thesis for examination, as well as the arrangements and conduct of the examination itself. It also explains the final procedures that lead to the award of your degree.

### Introduction

The arrangements for the examination are clearly extremely important, but it is often easy to forget the administrative formalities in the rush to write up the thesis or complete work for an exhibition. As with many other aspects of research degrees, the key is planning. With examinations this is particularly important, as our regulations mean that some of the paperwork will need to be completed more than three months before submission. In addition, if an exhibition of creative work is to be examined alongside a written thesis, a suitable space will need to be booked in good time. (Please refer to the section on exhibitions, page 62).

### Thesis

The written aspect of a thesis, including its appendices, footnotes and bibliographies, must be submitted in a particular format, and it is very important to become familiar with this format early in the period of study. Annex 4 of the Regulations (Section B of this handbook) details the layout of the written thesis. There are several recognised systems for constructing tables of contents, references and bibliographies, and these are discussed in some of the publications listed in the RNUAL guide.

If the thesis is practice based then the non-written element needs to be recorded in a standard retrievable form (see Section 7 of the Regulations below). You should discuss all these matters with your supervisors, but having chosen a method it should be consistently applied throughout the thesis. There is no need for the final draft of the thesis to be bound according to the regulations for the completed version. However, it should be presented for examination in a suitable fashion, giving at least an indication of its appearance when finished. Annex 4 of this Handbook outlines the requirements for the presentation of the thesis.

### Nomination of examiners

Very early during the period of study, perhaps even prior to registration, thought needs to be given to the identity of the internal and external examiners for the thesis. This is particularly true if the research is being conducted in a small field where there are relatively few people qualified to examine a research

degree. It should be borne in mind that some expert advice, or even an additional supervisor, may be required during the course of the research, and any prior contact with the student and input to the project disbars a potential examiner from nomination. In addition, examiners are ineligible if they already intend to employ or collaborate with the student in the future. A minimum of one internal examiner and one external examiner is required. An independent member of UAL academic staff nominated by University Research Degrees Sub-Committee will chair the examination. Internal examiners at the University are normally appointed from a college other than that at which the student is enrolled, although this is not a requirement. It is not necessary for all of the examiners to have prior experience of research degree examination, so long as their specialist subject is appropriate for the project. However, it is expected that there will be a total of at least five previously examined research degrees within the panel, although allowances can sometimes be made in subject areas where there is little history of research degree activity.

The examination team is nominated on the form RF5, which must be completed by your Director of Studies at least three months before the expected date of submission of your thesis. This form asks for a brief outline of the thesis and short form CVs (RF2), showing the proposed examiners' subject expertise and experience of research degrees, so that the University Research Degrees Sub-Committee may judge the appropriateness of their being appointed. This form must be submitted to the University Research Degrees Sub-Committee via the RMA Student Section. The examination may not take place until the University Research Degrees Sub-Committee's approval of the examiners has been obtained. The viva can be an especially challenging event in your career as a research student and as you are approaching your examination, you may want to consider undergoing a mock viva. This can be arranged by your supervisors if you wish to do so (please note that your examiners would not be involved in a mock examination).

## **Student's declaration and submission of thesis**

When your thesis is ready for examination, you must complete a statement which:

- confirms the length of the thesis (should your thesis go beyond the maximum word limit, you must make a case to Research Degrees Sub-Committee before submission);
- outlines the contribution others have made to its contents; and
- gives details of any parts of the thesis which have already been published, exhibited or submitted for another qualification.

This information is provided on the RF6 form. All of your supervisors are asked to confirm your statement by signing and dating the form. This form should

then be handed in to the RMA Student Section along with the examiners' copies of the thesis. One copy of the thesis is needed for each of the examiners, one for the Chair, along with one copy of your thesis in electronic format (pdf only). You will also want to keep at least one copy for yourself, plus one for each of your supervisors.

Please note that once you submit your thesis for examination, you will no longer have student status.

Section 7 of the Research Degree regulations, relating to submission of the thesis, is outlined below.

## **7. The thesis**

- 7.1 Students may undertake a programme of research in which their own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. In such cases, the 'thesis' is understood to mean the totality of the work submitted for the degree, which will include the creative work itself (or its adequate documentation) and a written text. Such creative work may be in any field within the competence of the staff, and commensurate with the mission statement, of the University.
- 7.2 After enrolment but before a degree has been awarded, a student may publish papers or exhibit work arising from the research. A note must be made in the thesis of any material that has been published or exhibited, and reprint(s) (or the equivalents) must be submitted with the thesis.
- 7.3 Where there is a requirement for the thesis to remain confidential for a period of time after completion of the work, application for confidentiality shall normally be made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, the application for the thesis to remain confidential after submission shall be made at the same time as approval is sought for examination arrangements. The period approved shall normally not exceed two years from the date of the oral examination.
- 7.4 The copyright in the thesis shall normally be vested in the student.
- 7.5 The thesis shall be presented in English.
- 7.6 There shall be an abstract of approximately 300 words bound into the written text on the page following the title page and which shall provide a synopsis of the thesis, stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- 7.7 The thesis written text shall acknowledge published or other sources of material consulted and any assistance received.
- 7.8 The student must confirm that the thesis has not been submitted for a comparable academic award.

- 7.9 In exceptional circumstances it is, however, permissible to incorporate, in a thesis covering a wider field, work that has already been submitted for a degree or comparable award, as long as both the declaration form and the thesis make clear which part of the work this is.
- 7.10 Where a student's research programme is part of a collaborative group project, the written text shall indicate clearly the student's individual contribution and the extent of the collaboration. The signed declaration must state how far the work contained in the thesis was the student's own work, or how far it was undertaken in collaboration with, or with the assistance of, others.
- 7.11 The final submission must be accompanied, where appropriate, by an archival record (such as video, photographic record, musical score, diagrammatic representation or digital storage medium) of the creative work. Such a record must be in a standard retrievable form that has been agreed with the Director of Studies.
- 7.12 The length of the written part of the thesis will exclude footnotes, appendices and the bibliography, and should be:
- i) for a PhD: not more than 100,000 words.
  - ii) for an MPhil: not more than 60,000 words.
- 7.13 The student shall ensure that the format and binding of the thesis is in accordance with the requirements prescribed by the Research Degrees Sub-Committee (Annex 4 of these Regulations).

As a guide the standard length for the written part of a text based PhD thesis is 80, 000 words and the standard length for the written part of a text based MPhil thesis is 50, 000 words.

The minimum length for the written part of the PhD thesis is as follows:

- Practice based thesis – 30, 000 words
- Text based thesis – 60, 000 words

The minimum length for the written part of an MPhil thesis is as follows:

- Practice based thesis – 15, 000 words
- Text based thesis – 40, 000 words

Section 8 of the Research Degree regulations, relating to the examination of the thesis, is outlined below.

## **8. Examination**

- 8.1 The examination for a research degree shall have two stages:
- i) the student's submission of the thesis and the examiners' independent preliminary assessment of it, which will be recorded in a written report;
  - ii) the defence of the thesis by viva voce or approved alternative examination. The viva voce examination should normally be completed within three months of the formal submission of the thesis for examination.
- 8.2 For students submitting a thesis that includes a body of creative work:
- iii) an exhibition or performance may be viewed by approved examiners prior to the oral examination as a means by which they may familiarise themselves with work. Normal procedure would be that the examiners view the exhibition themselves prior to then viewing it with the student. However, this decision rests with the examiners.
- 8.3 The submission of the thesis for examination shall be at the sole discretion of the student. While a student would be unwise to submit the thesis for examination against the advice of the supervisors, it is the student's right to do so. Equally, students should not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree.
- 8.4 It shall be the responsibility of the student to ensure that one copy of the thesis for each approved examiner and for the Chair of the Examination are submitted to the RMA Student Section before the expiry of the maximum period of registration.
- 8.5 A student shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause, University Research Degrees Sub-Committee is satisfied that the student would be seriously disadvantaged if required to undergo an oral examination, an alternative form of examination may be approved by University Research Degrees Sub-Committee.
- 8.6 The oral examination shall normally be held at the University and shall normally be chaired by a nominee of University Research Degrees Sub-Committee. The location and time of the oral examination shall be determined by agreement between examiners, supervisors and the student, normally within three months of receipt of thesis by examiners. The Chair of University Research Degrees Sub-Committee or nominee

shall have the right to attend the oral examination. For the procedures on oral examinations, see Annex 5 of these Regulations.

- 8.7 Apart from the oral examination, the student should not have any contact with the nominated examiners during the entire examination process, i.e. from submission to final approval.
- 8.8 University Research Degrees Sub-Committee shall ensure that all examinations are conducted, and the recommendations of the examiners are presented, wholly in accordance with these regulations. In any instance where University Research Degrees Sub-Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

## Arrangements for the viva voce

It is the responsibility of your Director of Studies together with Research Management and Administration Student Section to make the practical arrangements for the viva voce examination. This includes:

- agreeing the date of the viva with the examination panel
- booking any rooms or exhibition spaces that may be required
- helping external examiners to make appropriate travel arrangements

Annex 5 of this Handbook gives details on the procedures of the examination.

Section 9 of the Research Degree regulations, relating to examiners, is outlined below.

## 9. Examiners

- 9.1 A candidate shall normally be examined by one external and one internal examiner or two external examiners where no suitable internal examiner is available. Where the candidate is a member of staff of the University or a partner college (that is, subject to working over the six hours a week threshold) there shall be two external examiners and one internal examiner.
- 9.2 Internal examiners, external examiners and the Chair of the oral examination should not be related to or have a close personal or contractual relationship with the supervisors or other members of the examining panel.
- 9.3 Internal examiners, external examiners and the Chair of the oral examination should not be related to or have a close personal, professional or contractual relationship with the student.

### [External examiners](#)

- 9.4 An external examiner shall be independent of the University, partner college or collaborating establishment (as stated in the student's application to register form) and shall not have acted previously as the student's supervisor or advisor.
- 9.5 An external examiner shall normally not be either a supervisor of another student at the same College, partner college or collaborating establishment (as stated in the student's application to register form). Former members of staff shall normally not be approved as external examiners until three years after the termination of their employment with the University.
- 9.6 The external examiner(s) should normally;
- i) be competent in the area of work being examined ;
  - ii) be experienced in research, including having published exhibited or have professional practice in the field;
  - iii) be experienced in the examination of research students.
- 9.7 The external examiner will normally be an academic from another institution, but from time to time it may be appropriate to appoint an examiner from outside the university sector. In such cases, the examiner must at least have an understanding of the examination process, and if s/he has not previously examined a research student then a Chair with extensive experience as an examiner should be appointed.

#### Internal examiners

- 9.8 An internal examiner shall be defined as an examiner who:
- i) is a member of staff of the University, partner college or collaborating establishment;
  - ii) has relevant knowledge of the thesis subject area;
  - iii) has not been a supervisor or adviser to the student;
  - iv) is experienced in research or has professional practice in the field.
- 9.9 University Research Degrees Sub-Committee shall appoint the examiners. The Director of Studies shall propose the examiners to the Committee for approval at least three months before the expected date of submission. The examination shall not take place until the examiners have been appointed by the Committee.
- 9.10 In appointing examiners, University Research Degrees Sub-Committee will ensure that the examining panel has the necessary expertise and experience. It is expected that there will be a total of at least five previously examined research degrees within the panel, although allowances can exceptionally be made in subject areas where there is little history of research degree activity.
- 9.11 Normally the internal examiner should have prior experience of research degree examination, however, an internal examiner may be appointed

- who has subject experience but lacks examination experience, subject to University Research Degrees Sub-Committee approval.
- 9.12 In an examination for PhD at least one examiner shall have experience of PhD examining.
- 9.13 The University Research Degrees Sub-Committee shall ensure that the same external examiner is not approved so frequently that familiarity with the University might prejudice objective judgement.
- 9.14 A nomination of University Research Degrees Sub-Committee with examining experience shall chair the oral examination and the Examiners' meeting(s) and ensure that the appropriate report and recommendation is passed to the Committee.
- 9.15 One of the candidate's supervisors will normally be present at the oral examination. The Supervisor who is in attendance at the oral examination has the status of observer.
- 9.16 In exceptional circumstances the Research Degrees Sub-Committee may act directly to appoint examiners and the observer, and arrange the examination of a student.
- 9.17 The candidate shall take no part in the proposal or appointment of examiners and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.
- 9.18 No student for a research degree shall act as an examiner.
- 9.19 Where an examination cannot be held within three months of the submission of the thesis because of the unavailability of an examiner, the Research Degrees Sub-Committee may rescind the appointment of all or any of the examiners and appoint new examiners as appropriate.

## **Conduct of the examination**

The examination panel will agree between them the way in which they will conduct the examination, and advise the observer – usually the Director of Studies – of the result of these discussions. The Research Degrees Sub Committee will additionally appoint a suitable internal chair for each examination who will advise the internal and external examiners on any procedural matters amongst other things. Annex 5 of this Handbook outlines the procedures for the oral examination and gives further details on the conduct of the examination.

Once the examination is over, the examiners should complete Form RF7 and forward it as soon as possible to the RMA Student Section. Please note that faxed or emailed copies are not acceptable. The examiners must make sure that the form is legible and where necessary must accompany the original form with a word processed transcript for clarification. Normally, where examiners are in agreement on the outcome of the examination, only one such form need be



completed. However, where agreement has not been possible, each examiner should complete a separate form. The possible outcomes of an examination and their implications are detailed in the regulations below. The internal examiner is responsible for submitting the completed examiner's report to Research Management and Administration Student Section.

Section 10 of the Research Degree regulations, relating to the examination process and outcomes, is outlined below.

## **10. First examination**

- 10.1 The examiners must each submit a written preliminary report on the thesis five working days prior to the oral examination. This report should consist of a brief indication of examiner's view of a) the likely outcome, b) the nature of the corrections and c) that the examiner is happy for the viva voce to go ahead.
- 10.2 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination be postponed and return the thesis for further work and resubmission. This they should do at least five working days before the viva voce examination. In such a case the examiners shall provide University Research Degrees Sub-Committee with written guidance for the student concerning the deficiencies of the thesis. The examiners shall not recommend that a student fail outright without holding an oral examination or other alternative examination. If a member or members of the examination team do not feel it would be appropriate to participate in an oral examination of the student then the matter will be referred to University Research Degrees Sub-Committee for further guidance and advice.
- 10.3 Following the oral examination, the examiners should prepare a joint report, which is sufficiently detailed to enable University Research Degrees Sub-Committee to reach a well-founded decision. Where the examiners are not in agreement, separate reports and recommendations should be submitted.
- 10.4 The examiners may recommend that:
  - i) the student should be awarded the degree unconditionally;
  - ii) the student should be awarded the degree subject to minor amendments to the thesis to be completed within three months of the notification in writing to the satisfaction of the internal and/or external examiner (to be agreed by the examiners at the time of examination). As a guide, minor amendments should normally consist of typographic, bibliographic, or formatting errors but can include minor additions or subtractions on the condition that they are unambiguous, recorded in clear written instructions

to the candidate and are achievable within the three month period specified. The examiners shall provide a list of the minor amendments and corrections required in writing for communication to the student by the Research Management and Administration Office;

- iii) the student should not be awarded the degree but be permitted to re-submit the thesis in revised form and be re-examined, with or without an oral examination (to be nominated by the examiners), within a period of time specified by University Research Degrees Sub-Committee, which shall normally be one calendar year from the date of the latest part of the first examination. The examiners should recommend resubmission only if there is sufficient evidence of original work and if the amount of further work to be undertaken is not so substantial as to constitute a new thesis;
- iv) in the case of a PhD examination, the student should not be awarded the degree of PhD, but be awarded the degree of MPhil subject to all the criteria for the award of MPhil being met and the presentation of the thesis being amended to the satisfaction of the examiners;
- v) the student should not be awarded any degree and should not be permitted to re-submit the thesis. In this case the examiners shall prepare an agreed general statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the Research Management and Administration Office for transmission to University Research Degrees Sub-Committee and to the student.

### Re-examination

- 10.5 Recommendation 10.4 ii) above requires the student to submit an amended thesis, recommendations 10.4 iii) and 10.4 iv) above shall require re-examination. One such re-examination only is permitted.
- 10.6 In the case of recommendation 10.4 ii) above, the nominated internal and/or external examiner should report to the Research Management and Administration Office giving the outcome of assessment of the amended thesis.
- 10.7 In the case of recommendation 10.4 iii) above, the examiners shall jointly provide the student with written guidance on the deficiencies of the submission. The form of the re-examination shall be as specified by University Research Degrees Sub-Committee, subject to the provisions of these Regulations, and shall cover those aspects of the first examination in which the student's performance was not satisfactory and may cover any new or amended material included in the thesis presented for re-examination.

- 10.8 In the case of recommendations 10.4 ii), 10.4 iii) or 10.4 iv) above, students are required to submit a list of the amendments addressed by page number upon resubmission;
- 10.9 In the case of recommendation 10.4 iv) above, examiners must:
- Explain briefly in the final report why they consider that the thesis could not be revised to meet the criteria for the degree for which it was submitted short of the PhD criteria;
  - Confirm that the thesis (subject to any specified correction or amendment) meets fully the criteria for the recommended degree. It is not enough for a thesis to fall somewhat short of the PhD criteria; it must qualify positively for the award of MPhil.
  - Specify the amendments required to meet the award of the recommended degree.
- 10.10 Where the examiners' recommendations are not unanimous, University Research Degrees Sub-Committee may:
- i) accept a majority recommendation provided that the majority includes at least one external examiner; or
  - ii) require the appointment of an additional external examiner. Following this appointment, there shall be one re-examination only.

#### Posthumous awards

- 10.11 A research degree may be awarded posthumously on the basis of a thesis prepared by a student which is ready for submission for examination. In such cases evidence shall be provided that the student would have been likely to have been successful had the oral examination taken place.

Please note that in the case of recommendations 10.4 ii), 10.4 iii) or 10.4 iv) above, students are required to complete an RF6a 'Students Declaration – Resubmission' form and also have it signed by their Director of Studies.

### **Required Amendments After First Examination**

Should the outcome of the examination be 10.4 (ii) or 10.4 (iv) above, the RMA Student Section will write to the student with a deadline by which the amended thesis must be re-submitted and will enclose the report (RF7) and the details of the required amendments. Within that deadline, students must complete the amendments and have them checked by their supervisors. A completed RF6a 'Students Declaration – Resubmission' form should be submitted to the RMA Student Section along with your amended thesis and a separate list of the amendments. Please note that students must not attempt to contact examiners from the point they submit their thesis until it is fully approved. Both student and supervisors should then forward the revised thesis to the RMA Student Section, who will then formally write to the examiner(s) to outline their duties. The normal expectation is that the examiners review the revisions within a

month of receipt of the letter and thesis. The examiner(s) must write to the RMA Student Section indicating whether the amendments have been carried out to their satisfaction.

## Procedures for the award of the degree

Once the thesis has been completed to the examiners' satisfaction, one or two further formalities remain in order for the award of the degree to be confirmed. The student will be asked to submit the following to the RMA Student Section:

1. For the award of PhD: two hard copies of the thesis, both bound as per University of the Arts London regulation (Appendix 4 ) and one copy of the thesis in electronic format (pdf).
2. For the award of MPhil: one copy of the thesis only bound as per University of the Arts London regulation (Appendix 4) and one copy of the thesis in electronic format (pdf).

One hard copy is for the library at your college and, in the case of PhD award, the second hard copy is for the British Library. It is common practice for Directors of Studies to be given a copy and you will also want a copy for yourself. In other words, you will need to get at least four copies of your thesis bound.

The electronic copy of your thesis is required for the University's online repository, UAL Research Online and/or EThOS at the British Library (depending on which award you are submitting). At present you are able to opt out of making your thesis available online via these resources, please see below for further details.

3. Form RF8 is the authorisation and deposit agreement form for the following repositories:
  - University of the Arts London Library
  - British Library 'EThOS' (PhD students only)
  - UAL Research Online

**University of the Arts London Library** – The RF8 form firstly asks you to confirm that you permit the College library to make the thesis available to readers.

**British Library 'EThOS'** – is the UK e-theses web service at <http://ethos.bl.uk> and replaces the old British Library (microfilm) thesis service and is now the standard system for access to theses from UK universities. Doctoral theses in EThOS are available to read and download by requesters who have registered with the system. It is a non-commercial service, and readers do not have to pay

to read theses via EThOS. Once your thesis is in the system, it will be available to all future requesters. You may be interested to read the FAQs for Authors in the EThOSnet Toolkit at <http://ethostoolkit.cranfield.ac.uk/>. These outline, for example, measures to reduce the risk of plagiarism, and answer other frequently-asked questions. If you do not want your thesis to be made available via EThOS, you may opt out of this system. Please indicate this on the RF8.

**UAL Research Online** – in addition to the standard supply via EThOS, you also have the opportunity to make an electronic copy of your thesis available more widely on the web, via UAL Research Online, the University of the Arts London's institutional repository, which contains the research outputs of University staff. This e-repository will gradually replace the current system of holding paper copies in the College Libraries. The University repository is an open web system, in line with international trends towards open access to research. Theses in this repository will be available on the internet, details are picked up in search engines, and the expectation is that you will gain many more readers for, and citations to, your work. Readers are not required to register before reading the full text, but all theses will include a copyright notice and, because theses are also submitted to EThOS, the measures to detect future plagiarism will also apply. Again you may opt out of this service via the RF8 form. For more information please visit: [www.arts.ac.uk/research](http://www.arts.ac.uk/research).

Please note that you will need copyright permission to reproduce any images within copyright before these are loaded onto either EThOS or UAL Research Online (but not for the hard copies). If copyright permission is difficult or expensive to obtain it may be appropriate to blank out images (leaving titles) in the electronic copy of the thesis.

## **Award Letter**

If everything is in order, you will receive an initial award stating that the University of the Arts London has approved the award to the student of the degree of Doctor or Master of Philosophy of the University of the Arts London. The award of the degree will be the date on which the final thesis (permanently bound) is delivered to Research Management and Administration. Research degree students will be invited to attend University award ceremonies, held at the end of the summer term each year, for an acknowledgement of their achievement to be made. Students will receive their certificates and final award letter at the ceremony. Please note that the initial award letter does constitute satisfactory proof of completion of the degree, and may be used in lieu of a certificate if proof of holding the degree is required by potential employer, for example.

## **Application for embargo on thesis**

Where a candidate wishes the thesis to remain confidential for a period of time after completion of the work, application for approval is normally made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made to the Research Degrees Sub-Committee immediately. The period approved shall not normally exceed two years from the date of the oral examination.

## **Exhibitions**

At the end of their programme of research, students with a practice-based component to their studies will need to consider ways of displaying their work to the examination team. This should not normally take the form of an exhibition but may take the form of a display, demonstration or performance appropriate to the subject matter. The purpose of displaying the work is for the examiners alone, so that they can determine the extent to which the student has achieved the objectives they have set for themselves. It is not a requirement that the student has a formal exhibition as part of their examination process. A student may consider mounting a public exhibition at the conclusion of their period of study, but the extent to which they are supported by their college should be a matter for negotiation and agreement with the college as early as possible in the student's registration. The exception to this is if the student's thesis aims and objectives require an exhibition where, for instance the need to gather information about an audience response, which would then feed into the thesis. The exhibition could then be displayed for a greater length of time and to an open audience.

## A11. Appeals, Grievances and Complaints

This section details the procedures and regulations involved should a research student wish to appeal against a decision or have a grievance or complaint. The University of the Arts London provides all students with a Charter that sets out the rights and responsibilities of students following a course of study at the University. In accordance with the Charter, all students are supplied with copies of the University's general regulations on grievance procedures, which relate to non-academic matters, complaints, which relate to academic matters and appeals, which relate to assessments. These can be found on the intranet. The following complaints procedures are intended for academic-related issues that specifically relate to research students.

Section 11 of the Research Degree regulations, relating to the appeals process, is outlined below.

### 11. Right of appeal

11.1 A student has the right to appeal the following decisions:

- withdrawal from the programme of research before it has been completed on the grounds of unsatisfactory progress,
- the outcome of Confirmation
- the degree outcome at examination,.

11.2 Appeals against these decisions are permitted only on the following grounds:

- i. that there are facts, which for valid reasons, were not known to the examiners and the University Research Degrees Sub-Committee which, might, prima facia, have led to a different decision;
- ii. that there is evidence of material irregularity in the process by which a decision was reached or in the conduct of the confirmation panel or examination, such as to suggest that, in the absence of such irregularity, the result would have been different. A material irregularity may have occurred if there has been significant procedural or organisational irregularities in the conduct of the examination or assessment; the examination has not been conducted in accordance with the approved regulations; incorrect information was provided about the examination; there was irregularity in the scrutiny and ratification of the recommendations or there is evidence of unfair or improper assessment on the part of one or more of the examiners.

11.3 There are two stages to the procedure for appeals against the result of assessment outcome depending on which grounds are cited.

11.4 Where 'material irregularity' is at issue, the appeal will begin at Stage Two.

### Principles

11.5 Students must submit the initial appeal to the University within one month of being formally notified of a decision by the University Research Degrees Sub-Committee.

11.6 Appeals must be submitted, in writing, to the Research Management and Administration Office. Students must state fully the grounds of the appeal.

11.7 Alleged inadequacy of supervision does not constitute grounds for appeal because there are procedures for complaint and grievance during study.

11.8 Students may not appeal on the basis of disagreement with the academic judgement of the confirmation panel or examiners.

### Stage One of Appeal procedure

11.9 The first stage of the appeal procedure is conducted by the Chair of University Research Degrees Sub-Committee.

11.10 The Chair of University Research Degrees Sub-Committee will consult the confirmation panel or examiners, supervisor(s) and other appropriate people. Those consulted will be asked to submit comments in a form that can be made available to the student if the appeal goes to the second stage.

11.11 Candidates have no right of personal hearing at stage one.

11.12 The Chair of University Research Degrees Sub-Committee will decide:

- i) to uphold the appeal, with the agreement of the examiners, and change the result of the examination or decision at Research Degrees Sub-Committee, or;
- ii) reject the appeal and confirm the examination result or;
- iii) refer the appeal to Stage Two.

11.13 The University will write to inform the candidate of the outcome of the first stage appeal, not later than ten working days after the decision has been reached.

### Stage Two of Appeal procedure

11.14 The second stage of the appeal procedure is conducted by the Deputy Rector, Academic .

11.15 Students who are appealing a Stage One appeal decision must submit the Stage Two appeal within one month of receiving formal notification.

11.16 The Deputy Rector, Academic will consult the confirmation panel or examiners, supervisor(s) and other appropriate people or receive such information from the Stage One procedure. Those consulted will be asked to submit comments in a form that can be made available to the candidate.



11.17 The student may be assisted in the second stage appeal process by a nominated friend. The Deputy Rector, Academic will sit with one or more appropriately qualified external examiners.

11.18 The Deputy Rector, Academic will:

- i) with the agreement of the examiners or assessors, uphold the appeal and change the result of the examination or decision of Research Degrees Sub-Committee or
- ii) if there is clear evidence of material irregularity (see 11.2 ii), refer the decision for re-examination. Where a thesis is to be sent for re-examination (this can include allowing time to prepare revision and resubmission of the thesis) the procedures set out in paragraphs 11.28 – 11.33 below apply, or with other decisions the referral will be to Research Degrees Sub-Committee, or
- iii) reinstate the student's registration while the decision is formally reassessed. In this case conditions should be stipulated to assess the student's progress.
- iv) reject the appeal and confirm the examination result, assessment or decision. If so the student will be informed, in general terms, of the reason(s) for rejecting the appeal

11.19 The University will write to tell the student the outcome of the appeal, not later than twenty working days after the decision has been reached.

#### Exceptional Scrutiny

11.20 It is expected that the procedures for appeal having been followed, all parties will be satisfied with the fairness of the decision reached. However in instances where this is not the case a student may lodge with the Rector, as Chairman of Academic Board, a request for Exceptional Scrutiny by Academic Board by submitting an Exceptional Scrutiny Form within two weeks of the issue of the decision for which exceptional scrutiny is being sought.

11.21 The Rector may instruct a senior member of staff not otherwise involved in these processes to meet informally with the student within two weeks of receipt of the Exceptional Scrutiny Form. The purpose of this informal meeting is to clarify outstanding concerns and the facts about the procedures followed to date and this information will be made available to the Rector.

11.22 Authority to determine the process of the Exceptional Scrutiny is vested in the Rector (as Chairman of Academic Board). He/she may at his/her discretion reach a decision personally without a meeting with the student; or may call the student and/ or others to present relevant evidence before reaching a decision; or may refer the case to an Academic Board Exceptional Scrutiny Panel.

- 11.23 Such an Exceptional Scrutiny Panel shall consist of five members. Three members will be drawn from the pool of ex officio members of the Academic Board and its standing committees, one of whom shall be appointed by the Rector to chair the meeting. There will also be one external member and one Students' Union nominated representative.
- 11.24 The Exceptional Scrutiny Panel shall have the delegated authority of Academic Board and may consider whether to exercise its power to annul a decision of a Board of Examiners or equivalent and to substitute it with a decision of its own, where exceptional circumstances make this appropriate.
- 11.25 If the Rector does not refer the matter to the Exceptional Scrutiny Panel, he/she will inform the student about his/her consideration of the review, normally within three weeks of the receipt of the Exceptional Scrutiny form.
- 11.26 Exceptional Scrutiny by Academic Board is the last stage of internal appeal on assessment matters and is binding on the University and the student. Consequently, regardless of any continuing grievance the student might feel, he/she is advised to acknowledge the ongoing requirements and implications of the Exceptional Scrutiny decision.

#### [Office of the Independent Adjudicator](#)

- 11.27 Students who remain unsatisfied with the outcome of their appeal may consider taking their case to the Office of the Independent Adjudicator. This action may not be taken until the full internal University procedures have been completed. The University's Governance and Legal Affairs Office can advise on the procedure to follow when taking a case to the Office of the Independent Adjudicator.

#### [Re-examination of theses on appeal](#)

- 11.28 Theses submitted for re-examination under 11.18 (ii) above will be examined by a panel normally consisting of an internal examiner and two external examiners, none of who may be members of the original examination panel.
- 11.29 This examination will follow the procedure for first examination, as set out in 9.15 and 10.1 – 10.4 above.
- 11.30 The examiners will be told they are re-examining a thesis on appeal but will be given no information about the previous examination.
- 11.31 If a student is permitted to have their thesis re-examined, they are not normally permitted to make any amendments to it before the second examination. If appropriate, and to avoid unnecessary duplication of effort by examiners, an appendix of purely typographical errors may be attached to the thesis and submitted for re-examination.
- 11.32 If the result of the re-examination is less favourable to the student than that of the first examination against which a successful appeal has been made, then the result of the original examination will stand.

11.33 If the thesis is referred for re-examination in accordance with 11.18 (ii) the Deputy Rector, Academic determines the right of appeal against the result of the re-examination.

Section 12 of the Research Degree regulations, relating to the disciplinary code, is outlined below.

## **12. Disciplinary code for students**

- 12.1 There is a separate appeal procedure for student disciplinary cases (Annex 6 of this handbook).
- 12.2 If there is evidence of plagiarism in the preparation of the thesis or if evidence comes to light after the examiners have made their recommendation, action will be taken in accordance with the University's Disciplinary Code for Students (Annex 6 of of this handbook). The definition of plagiarism is set out in Annex 7 of this handbook.

Section 13 of the Research Degree regulations, relating to complaints and grievances, is outlined below.

## **13. Complaints and grievances**

13.1 The University of the Arts London provides all students with a Charter that sets out the rights and responsibilities of students following a course of study at the University. In accordance with the Charter, all students are supplied with copies of the University's general regulations on grievance procedures, which relate to non-academic matters, complaints, which relate to academic matters and appeals, which relate to assessments. These can be found on the intranet. The following complaints procedures are intended for academic-related issues that specifically relate to research students.

### Grievances

- 13.2 The following issues which may give rise to complaint by a research degree student(s) are covered in the grievance procedures for all students referred to above:
- assault or serious or threatening behaviour
  - sexual harassment
  - racist activity or behaviour
  - abusive or unreasonable behaviour
  - any action likely to cause injury or impair the safety of the student
  - unacceptable social behaviour

## Complaints

13.3 The complaints procedures below are intended for those issues that may give rise to complaint, relating to matters specifically pertaining to research degree students such as:

- inadequate supervision\*
- loss of or undue delay in the return of work\*
- non-availability of essential equipment or resources necessary to complete work\*
- plagiarism of the student's research
- unauthorised disclosure of confidential information to a third party
- appeal against assessment outcome (see section 11 of the regulations)
- maladministration\*

\* In this case, other than in exceptional circumstances, it is expected that a formal complaint would not be made on the basis of an isolated incident but that there would be evidence of a continuing problem before the complaint was pursued.

13.4 Students are encouraged to raise issues at an early stage. This is particularly important since delay may create problems in the subsequent investigation of the complaint. Complaints must be made before the final thesis examination and cannot constitute grounds for appeal against the outcome of the examination.

13.5 At all stages of the complaint, a member of staff against whom a complaint has been made may be accompanied by an accredited trade union officer or some other individual employed by The University of the Arts London.

## Informal procedure

13.6 Students are encouraged first of all to raise complaints with their Director of Studies (or with the Dean of School within which she/he is located if the complaint relates to the Director of Studies). If the Director of Studies is the Dean of School, complaints should be raised informally with the Head of College.

13.7 The Director of Studies (or alternative as stated in 13.6) should record the nature of the complaint and attempt to resolve it to the satisfaction of all parties involved, noting any actions taken, normally within two weeks. In many cases it will be possible to resolve the issues amicably at this stage. The formal procedures should normally only be used either where the complaint is so serious as to make it inappropriate to deal with it at an informal level or where informal action at the departmental level has failed to resolve the issue to the satisfaction of the student.

## Formal procedures

### Stage 1

- 13.8 Any formal complaint shall be made in writing and addressed to the Chair of the Research Standards & Development Committee. If the complaint relates to the Chair, the complaint shall be addressed to the Deputy Rector, Academic who shall ask an appropriate member of the Committee to act on the Chair's behalf. Hereinafter, references to the Chair shall also be read to include a member acting on his/her behalf.
- 13.9 The Chair shall copy the complaint to the student's Director of Studies, any staff member(s) against whom the complaint is made or who is responsible for taking action to redress it (hereinafter referred to as the member(s) of staff directly involved), the Secretary of the Committee, and the Dean of School in which the student is located. If the complaint relates to the Dean of School or other senior staff, it shall be copied to the Head of College. If the complaint relates to the Head of College, it shall be copied to the Deputy Rector, Academic.
- 13.10 Any member(s) of staff directly involved shall have the opportunity to respond to the complaint in writing, normally within ten working days of receipt of notification.
- 13.11 The Chair, in consultation with the Dean of School (or Head of College as appropriate), shall take such steps as are necessary, including taking written evidence, to establish and clarify the nature of the complaint. This may include consultation with other members of the Committee. The Chair and Dean of School (or Head of College) may determine:
- 1a) that the complaint is inappropriate within the grievance procedure and should be dismissed;
  - 1b) that the complaint might be resolved amicably, in which case they shall endeavour to do so;
  - 1c) that the complaint be upheld;
  - 1d) that the complaint highlights issues which they feel unable to resolve or raises issues of principle or interpretation of the procedures, in which case the complaint shall be referred to Stage 2. If the decision is that the complaint be upheld, the Chair shall recommend to the Committee and/or Head of College as appropriate the action to be taken. This may include, inter alia:
    - 2a) that appropriate supervision be provided (this may involve changing the student's supervisory arrangements);
    - 2b) that relevant equipment/resources be provided;
    - 2c) that the focus of the project be reviewed;
    - 2d) that the University of the Arts London take appropriate action in respect of the member(s) of staff directly involved.

13.12 The Chair shall make the conclusions known in writing to the student, normally within one month of receiving the written complaint. The conclusions shall be copied to the Secretary of the Research Standards and Development Committee, the student's Director of Studies and any members(s) of staff directly involved.

### Stage 2

13.13 The Head of College shall set up a panel to consider the complaint, normally within one month of receiving notification of appeal or of referral to Stage 2 under 1d) above. If the complaint relates to the Head of College or Central Service, this shall be addressed to the Deputy Rector, Academic. Hereinafter, references to the Head of College shall also be read to include the Deputy Rector, Academic in appropriate cases. The Head of College shall notify the Chair and Secretary of the Research Standards and Development Committee, the student, any member(s) of staff directly involved, and the student's Director of Studies that the complaint has been referred to Stage 2.

13.14 The Panel shall consist of the Head of College, two student representatives nominated by the Students' Union and two members of staff nominated by the Head of College. At least one staff representative shall be nominated from among the members of the Committee. The Head of College shall make every effort to ensure that membership of the Panel is acceptable to both the student and any member(s) of staff directly involved. The Panel shall be chaired by the Head of College. In advance of meeting, the Panel shall receive copies of the grievance, any statement made in rebuttal by any member(s) of staff directly involved, the conclusions of Stage 1 against which the appeal has been lodged (if applicable), the reasons for the appeal (in writing), and any other evidence submitted in writing by the student or any members(s) of staff directly involved. All papers submitted to the Panel shall be made available to the student and to any member(s) of staff directly involved.

13.15 The Panel shall determine its own procedures, but it shall normally hear all parties in person (although any party may be accompanied by a friend, such as a member of staff or student of the Sponsoring Establishment or an accredited Trade Union officer or a legal adviser, who may speak for them). All evidence shall be presented through the Chair and examination of witnesses shall be through members of the panel.

13.16 Where a complaint has been referred direct to Stage 2, the Panel has open to it all the options listed above. Where the Panel is hearing an appeal against a decision taken at Stage 1, it may in addition determine:

- a) that the appeal is inappropriate within the grievance procedure, or is frivolous or mischievous and should be dismissed;
- b) that the issue might be resolved amicably, in which case the Chair shall initiate such conciliation as seems appropriate;

c) that the decision of Stage 1 be upheld.

13.17 The Panel shall make known its findings in writing to the student, any staff member(s) directly involved, the Students Union and the Chair and Secretary of the Committee, normally within ten working days of the hearing. If conciliation was recommended by the Panel, the Chair shall endeavour to take appropriate action within this period.

## A12. Quality assurance and feedback

This section describes the quality assurance mechanisms including research student representation on committees and methods for research students to provide feedback on their experience. Quality assurance is of central importance to the research student experience. Quality is a two-way process and staff and students have an integral role in the formal system for maintaining and improving the quality of the academic work at the University of the Arts London. The points at which quality is assured in the research degree process are different, but parallel, to taught courses. Thus the approval and registration of a programme of research equates to the approval of new taught courses. Research degree student progress is subject to both informal and formal monitoring at regular intervals. Finally, the system of examination depends on the judgements of both internal and external examiners.

### Student representation on committees

A number of research related committees provide the formal structure for the approval, monitoring and assessment of programmes of research. The Research Standards and Development Committee is concerned with the overall strategy, policy and resourcing of research degree work. The University Research Degrees Sub-Committee is responsible for the quality assurance of all research degrees. The College Research Degrees Sub-Committees maintain an overview and advise on all matters related to research and research degrees within the colleges. The Terms of Reference of the Research Committees are contained in Section C2 of this handbook. College Research Degrees Sub-Committees and the University Research Degrees Sub-Committee include a research student representative, elected from the body of research students. To play an effective part in quality assurance you should take the election of student representatives seriously. You should support your representative and make your views known to your representative. You should be prepared to be consulted and to help your representative understand your views. You can view the current research student representatives at: [www.arts.ac.uk/research/degrees/informationforcurrentstudents/studentrepresentation](http://www.arts.ac.uk/research/degrees/informationforcurrentstudents/studentrepresentation)

### Research student feedback

The University will also provide a mechanism for formal research student feedback, which commences towards the end of the spring term. The feedback system is organised the RMA Student Section. The comments and overall analysis from each annual feedback survey are reported to the Research Degrees Sub-Committee for their consideration in the autumn term of the following academic year. Any College/ University response is then communicated to the students via the research web pages. This can be viewed at: [www.arts.ac.uk/research/degrees/informationforcurrentstudents/researchstudentfeedback/](http://www.arts.ac.uk/research/degrees/informationforcurrentstudents/researchstudentfeedback/) The University uses the online PRES (Postgraduate



Research Experience Survey), which is run by the Higher Education Academy (HEA). It is an anonymous online questionnaire and is used by over 70 Higher Education institutions through the UK. The PRES survey is available every two years, in the intervening year students should take advantage of the feedback opportunities offered at their College. The feedback questionnaire is always anonymous but students should be aware that some comments they make may be used as examples in the final report. You may wish to take this into account and speak to the RMA Student Section if you would not like your comments to be reported in this way. It is particularly important that students make full use of their Directors of Studies and supervisors as issues arise, and not to rely solely on the annual feedback mechanisms. In most cases these individuals will be the first point of contact for any difficulty. If the problem is outside their scope then they will direct you to the relevant individual or service. For more information about PRES please visit the following website: [www.heacademy.ac.uk/pres](http://www.heacademy.ac.uk/pres)

## Quality Assurance Agency (QAA)

The QAA is an independent body, established in 1997, to 'safeguard the public interest in sound standards of higher education qualifications and to inform and encourage continuous improvement in the management of the quality of higher education.' The University of the Arts London is fully committed to maintaining a high standard of support and service to research students and adheres to the Code of Practice for Research Students (Section 1) which can be found on the following website: [www.qaa.ac.uk/Publications/InformationAndGuidance/Pages/Code-of-practice-section-1.aspx](http://www.qaa.ac.uk/Publications/InformationAndGuidance/Pages/Code-of-practice-section-1.aspx)

## University of the Arts London regulations

All students are bound by the University of the Arts London Research Degree regulations. The Disciplinary Code for Students is made under Article 12 of the Articles of Government, approved by the Court of Governors in 1992. The procedures for appeals, grievances and complaints are set out in section A11 of this handbook.

## Plagiarism

Plagiarism is defined as stealing another person's ideas and using them as though they were your own. These ideas may be expressed as writing, computer software or as artefacts e.g. original artwork, designs, film or CD ROM design. It is also plagiarism if you do not acknowledge the co-operation of another individual who works with you or gives you permission to use their work. Plagiarism can be avoided by careful and systematic referencing of all material, text or non-text. Your supervisor will help with guidance on the correct way to acknowledge work belonging to other people. It is useful to carefully note sources as you go along to ensure that acknowledgements are not overlooked.

The University's guidance and procedures related to plagiarism are set out in the Academic Affairs Handbook, available through School and College offices and on the following site on the Intranet at <http://intranet.arts.ac.uk/quality/aa/>

## **Intellectual property rights**

The University of the Arts London is a place where creativity and the generation of ideas are paramount. The University wishes to ensure that the Intellectual Property arising from the creativity of its staff and students and through the use of its resources is protected and used for the benefit of all, and a policy for the protection and use of Intellectual property has been developed by the University. The protection and appropriate commercialisation of intellectual property at the University is in everyone's best interest. There is a real potential to attract additional income for staff, students and the University from commercialising intellectual property. Additional income coming to the University in this way will be invested in further improvement of its services to staff and students. If, through your studies or research or activity at the University you are developing new ideas, innovative new products, artworks, designs, processes, publications, creative content or output, then this policy may affect you. Please contact the RMA Student section for contact details.

## A13. Working and studying

This section gives a brief description of the University's policy on the amount of time you should spend studying and the amount of paid employment you may undertake.

### **Full-time students (home/ EU, overseas)**

Full-time students are expected to devote at least 35 hours per week to their studies. They are permitted to augment their income by means of employment as a lecturer or technician. Such duties are negotiated directly with individual colleges. Teaching is seen as an appropriate activity for research students, particularly if you intend to make a career in higher education. However, if you are a full-time student it is important that the number of hours you engage in any form of paid employment is not excessive. During term time no more than six hours a week (including time needed for preparation) is acceptable. During vacations you may work full-time. Please note that if you do intend to undertake paid teaching work at UAL then you will normally need to complete the Developing Educational Practice course offered by the Centre for Learning and Teaching in Art and Design (CLTAD), please see the RNUAL Guide 11/12 for further details. Any paid teaching contract at UAL will only commence once proof has been shown that you have successfully completed the required training.

### **Part-time students (home/ EU)**

Home/EU part-time students are expected to devote at least 16 hours per week to their studies. Paid employment may be undertaken within reason and such that it is not detrimental to your studies. During vacations you may work full-time.

### **Part-time students (overseas)**

Overseas part-time students are expected to devote at least 16 hours per week to their studies. Remember that your stay in the UK depends upon you supporting yourself without public funds and without needing to work. There is an exception: postgraduate research students who work in the institution where they are studying can claim any wages as a financial support. The rules are very clear about working hours. You may only work up to 20 hours per week during term-time, but you can work full-time during vacations. You are not allowed to be self-employed, or to take work in professional entertainment or sports. Please note that if you need to enter the UK on a Tier 4 student visa then you will not be allowed to study on a part time basis.

# Section B: Annexes

## Annex 1 Code of practice on Research Ethics

The University is committed to supporting good practice in research and scholarly activity; it considers it to be fundamental that research should be conducted in accordance with ethical principles. This document defines the scope of the University's Code of Practice on Research Ethics, sets out the guiding principles, and outlines the obligations and responsibilities for conducting research in an ethical manner. This document is part of the University's framework for supporting good practice in research which includes the following information:

- UAL Code of Practice on Research Ethics [this document]
- UAL Guidance for Research Ethics Approval
- Constitution and terms of reference for UAL Research Standards and Development Committee and Research Ethics Sub-Committee
- UAL Health and Safety policy
- UAL Equality and Diversity Framework
- UAL Disciplinary Code

### 1. Definition of Research

- 1.1 For the purposes of this Code of Practice, research is defined as any form of systematic, critical and/or creative enquiry that aims to contribute to a body of knowledge. It includes scholarly activity which analyses, synthesises and provides interpretations of ideas and information with the aim of contributing to the intellectual infrastructure of subjects and disciplines.

### 2. Applicability of the Code of Practice

- 2.1 This Code applies to all research undertaken under the formal auspices of the University. It applies to all research associated with the University irrespective of the source of funding or the physical location of the work. It applies to research carried out by staff and students in the course of their duties and relations with the University. Work conducted as part of professional practice carried out beyond the academy is the responsibility of the practitioner.
- 2.2 The Code applies to pedagogic enquiry and interventions which are beyond the normal agreements for educational purposes between teacher, student and institution.

### 3. Guiding Principles

- 3.1 The guiding principles of this Code are respect for persons, justice, and beneficence; these constitute a systematic regard for the rights and interests of others in the full range of research relationships and activities.
- 3.2 Respect for persons recognises the capacity and rights of all individuals to make their own choices and decisions. It refers to the autonomy and rights to self-determination of all human beings, acknowledges their dignity, freedom and rights. An important component of this principle is the need to provide special protection to vulnerable persons.
- 3.3 The principle of justice obliges the researcher to distribute equally the risks and benefits of participation in research. Any risks to persons participating in research must be weighed against any potential benefits – to the participants or the researchers, and also the wider benefits to society of the knowledge gained. As with the principle of respect for persons, there is a need to protect vulnerable groups.
- 3.4 Beneficence is the principle of doing good in the widest sense. It requires researchers to serve the interests and well-being of others. In so doing, researchers comply with the principle of neither doing, nor permitting, any foreseeable harm as a consequence of research activities. This is the principle of non-maleficence, it is the principle of doing no harm in the widest sense.

### 4. Obligations and Responsibilities

- 4.1 It is the responsibility of researchers to conduct their research in line with the guiding principles set out above. Compliance implies giving due consideration to the ethical dimensions of any research undertaking, and this, in turn, implies that the researcher undertakes an assessment of risk in relation to these guiding principles. The University provides guidance on the assessment of risk in the UAL Guidance for Research Ethics Approval.
- 4.2 Researchers are responsible for ensuring they are familiar with the University's procedures for scrutinising, approving and monitoring research activity and for complying with them.
- 4.3 Researchers are expected to maintain the highest standards of academic integrity in conducting, publishing or exhibiting the outcomes of their research. This includes formally acknowledging the contributions and assistance of others, collaborating partners, honouring contractual agreements, copyrights, and the ownership of intellectual property and avoidance of any practice likely to mislead as to the origin, validity, novelty or ownership of what is presented.
- 4.4 Researchers must consider other rules of conduct that may apply to their research and ensure compliance. For example particular codes of practice and rules of engagement apply to work in archives, museums

and galleries. Work in hospitals and other medical institutions requires proposals for research to be approved by an ethics committee approved by the Department of Health.

- 4.5 Research undertaken at UAL draws on a wide variety of disciplinary backgrounds. Researchers are expected to comply with the standards of professional practice, the disciplinary understandings, the ethical frameworks and guidelines which apply to the work being carried out, for example as a consequence of the methods employed, the expectations of the funding body, or as a result of the researcher's affiliation with a subject association or professional body.
- 4.6 In research involving active participants, in order to realise the guiding principles, several specific requirements are essential. The prior informed consent of a potential participant, and the requirements for this consent to be legally valid are set out in the UAL Guidance for Research Ethics Approval.
- 4.7 Where research gathers information from individual persons from which they can be identified, there is an obligation for the researcher to respect the person's privacy, rights to confidentiality and if the information is recorded in any medium as data the researcher must address data protection and comply with the Data Protection Act. Issues of confidentiality and privacy are distinct from each other and from data protection. Researchers are responsible for considering each of these in their assessment of the ethical dimensions of their research.
- 4.8 Researchers must acquaint themselves with legislation that is relevant to their research. Among the laws with general requirements are the Data Protection Act, the Equality Act, the Computer Misuse Act, the Obscene Publications Act, and legislation regarding working with participants unable to give informed consent, safeguarding children, the welfare of animals, uses of human tissue, and regulations about health and safety.
- 4.9 Contractual arrangements about the publication, dissemination, and exploitation of research including any non-disclosure agreements and intellectual property rights must be clearly set out prior to the conduct of the research.
- 4.10 The independence of research must be clear, and any conflicts of interest or partiality must be explicitly declared.

## University of the Arts London Guidance Note on Photographing People: manipulation and use of the Image.

(For photographing children, see especially page 74 Section 2b.i) This guidance is developed from the guidance on informed consent, supplementary to the University's Code of Practice on Research Ethics. It should be consulted and its recommendations and references utilised when a photographer intends to include people in photographic work or projects.

### Introduction:

Photography and the manipulation and use of a person's image raises issues relating to privacy rights and data protection. Key issues include :

### Legal

The Copyright, Design and Patent Act 1988 and the Data Protection Act 1998 govern the way images of people are handled. The following practice is designed to ensure compliance when using images of clearly identifiable people. This applies to images in any of the following formats; paper, printed material, photographs, videos, webcams, the internet and multi media (mobile phones).

### Copyright

Photographic images are considered artistic works under the laws of copyright. Images obtained from the internet/web are also subject to copyright. The first owner of copyright is the photographer. When work is made in the course of employment the employer owns the copyright. For more detailed information please refer to Artquest the University site at [www.artquest.org.uk](http://www.artquest.org.uk)

### Moral Rights

As well as limiting the right to copy, copyright and privacy legislation also protects the individual's Moral Rights. These include the unlawfulness of distorting or manipulating an image in a derogatory manner.

To address these issues, this guidance emphasizes the key principle of informed consent. Examples of forms of consent commonly used within some professional contexts:

- Social Sciences: consent normally obtained, either written or oral.
- Documentary film: written consent forms normally obtained
- News journalism: verbal consent to be interviewed/filmed usually obtained where possible, but phrased in a simple question such as 'do you want to be interviewed/ can I take your photograph' (the assumption being that interviewees understand the consequences of being in the media), although in crowd situations or news such consent is not usually possible nor obtained.

- Commercial photography: signed consent forms (model release forms) always obtained, usually in return for payment i.e. model fees

The three fundamental tenets of informed consent are

- 1. Protection:** it exists to protect the subject, not the photographer.
- 2. Quality:** within the limits of the work the quality of the consent obtained is paramount with the expectation being that consent is freely given and fully informed.
- 3. Process:** informed consent is a dynamic, ongoing process and consent may need to be revalidated due to changing circumstances.

All three are relevant for photographic work involving personal images. They should be seen to have informed the use of a consent form and any accompanying documentation. Further detail on each tenet is provided below.

### 1. Protection

Informed consent exists to protect the subject, not the photographer. It is important to remember that you have,

*“...no special entitlement to study all phenomena; and the advancement of knowledge and the pursuit of information are not in themselves sufficient justifications for overriding the values and ignoring the interests of those studied” \**.

The fact that photography is artistic does not give the photographer an automatic defence either in common law or under the Data Protection Act. Photographers should assess the work they wish to undertake in terms of the value of the work considered in relation to the implications for the participants. This initial evaluation

*\*ASA guidelines on ethics ([www.asa.anthropology.ac.uk](http://www.asa.anthropology.ac.uk)) or risk assessment for the work informs the photographers (and any supporting body's) decision to proceed with the work and helps determine how that work will be carried out.*

### 2. Quality

Assuming that you have addressed the first tenet then, within the limits of the work being undertaken, the quality of the consent obtained is paramount. The onus is on the photographer to ensure that the consent is freely given and fully informed. The quality of the consent is affected by a number of factors, these being: the format of the record of consent (see 2a.), the competence and capacity of the subject to give consent (see 2b), and the clarity of the information provided to the subject (see 2c).

#### 2a. Format of the record of consent

- Written: Wherever possible a signed consent form should be obtained.



- ii. Oral/ recorded: If written consent is not possible, oral consent can be given after the photographer has read out the details of the consent form and information sheet. This should preferably be witnessed by a second person and recorded with time and date stamp, either on video (preferable) or sound.
- iii. None: If the work involves photography in public spaces, consent is not generally required, but then the onus is on the photographer to use<sup>1</sup> the material so gathered in an ethically responsible way, and not to exploit the subjects nor to identify them with any specific project claim. In such cases the photographers' actions should be seen to be safeguarding the interests of the public, to be fair, to be reasonable and honest, to have and to have had due regard to issues of privacy.

## **2b. Competence and capacity to give consent**

There are a number of circumstances where the competence and/ or capacity of photographic subjects is absent or compromised. These circumstances typically fall within the following categories, however this list is not exhaustive and photographers should consider the issues of competence and capacity for all participant groups.

### **i. Children and young persons**

Photography involving children under 16 will require the informed consent of parents, carers or guardians. Young persons (i.e. between the ages of 16 – 18) are generally thought to be able to give informed consent but it might be appropriate to seek advice depending on the nature of the work. All photographers intending to work with children should endeavour to gain informed consent from the child participants in addition to the consent of their parents, carers & care givers.

Photographers working with children or young persons are advised to consult the National Children's Bureau Guidelines and adopt the good practice therein <http://www.ncb.org.uk/ourwork/detail.asp?PID=144>.

When working with Children and young persons please note the following:

- Notwithstanding the fact that parental consent has been obtained, the primary responsibility for safeguarding the rights of the child remains with the photographer.
- All photographers working with children must consider that they and anyone other than the parents, carers and guardians require clearance from the Criminal Records Bureau <http://www.crb.gov.uk/>
- All photographers must ensure that they are not left alone with a child participant or unobserved by another responsible party.

<sup>1</sup> For further detail on 'use' look at section 3

## ii. Adults incompetent to consent to being photographed.

Where adult participants are not in a position to give informed consent the photographer should have regard to the Mental Capacity Act (2005): <http://www.direct.gov.uk/DisabledPeople/HealthAndSupport/YourRightsInHealth/HealthRightsArticles/fs/en?CONTENTID=10016888&chk=Rbs32A>

Photographers should be aware that English law may not currently permit guardians/ parents to give consent on behalf of mentally incapacitated adults in certain matters.

Photographers should seek advice from the Legal Services Manager as to whether they need to obtain a declaration from the court that the proposed photographic procedures are lawful. The advice of the Royal College of Physicians (1990) and the Royal College of Psychiatrists (1990) <http://www.rcpsych.ac.uk/publications/cr/council/cr82ii.pdf> may also prove valuable.

## iii. Other vulnerable populations

Photographers should be aware that there are many factors that may affect the ability of participants to freely give informed consent, and some instances are outlined below.

More detailed guidance can be found through the British Sociological Association: [http://www.britsoc.co.uk/new\\_site/index.php?area=equality&id=63](http://www.britsoc.co.uk/new_site/index.php?area=equality&id=63), and the Association of Social Anthropologists of the UK and Commonwealth <http://www.asa.anthropology.ac.uk/>

- **Institutional populations** (employees, prisons, schools, etc.) Photographers should be aware that institutional populations may feel coerced into taking part in the work by the consent of the institutional authority to carry out the work within their domain. Photographers should, therefore, ensure that members of an institutionalised population understand that the institutional consent places them under no greater obligation to participate in the photographic work.
- **Populations where significant cultural differences may affect the capability of participants to give fully informed consent.** Where this is the case the photographer should employ culturally appropriate methods to allow subjects to make ongoing decisions to participate or to withdraw from the photographic process. The clarity of the information provided (see 2c below) is paramount in these circumstances.

## iv. Methodological – Filming without consent.

Where the nature of the photography is such that informing participants before the work is carried out might render the results invalid, there should be appropriate explanations following the study. In these

circumstances, justification for this course of action is to be submitted for approval to the Dean's Office. Photographers must provide convincing reasons why such work should proceed without informed consent. Photographers should not mislead participants if it is thought that permission will not be obtained. Secret filming in a public place can in principle be unlawful. Photographers must be aware that this could result in successful claims for damages. The practise of secret filming raises serious issues around liability for common law breach of confidence.

The photographer will have to show that any interference with individual privacy rights was no more than was necessary and could not reasonably have been avoided by e.g. asking the individual for consent. The privacy rights of the individual are present prior to any broadcasting or future 'embarrassment' that may occur.

### 2c. Clarity of the information provided

Consent forms and information sheets should be written in language of the participant.

They should avoid using jargon, be as simple, accessible and appropriate as possible.

Photographers should make a sincere and conscious effort to understand their subjects when drafting these documents and/or considering the means of delivering the information.

Participants should be given sufficient time to understand the information, to ask questions and to express any concerns that they may have. It should contain contact details for at least two persons, one the photographer and the other (another) person at the School/College/University. An essential element of informed consent is telling participants clearly about the following:

1. the purpose of the photographic work, expected duration, and procedures;
2. their right to decline to participate and to withdraw from the project once participation has begun;
3. the foreseeable consequences of declining or withdrawing;
4. reasonably foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects;
5. any prospective benefits;
6. limits of confidentiality;
7. incentives for participation; and
8. who to contact for questions about the photographic project and the subject participants' rights.

In short the following should normally be made clear and be understood to the subject; a) why the person's image is being captured b) what the image will be used for and c) where the image will appear in the public domain.

When writing documents in English:

- Guidance on writing in clear and plain English is provided by the Plain English Campaign <http://www.plainenglish.co.uk/guides.html>

### 3. Process: Reviewing and renewing subject's consent for new or changed uses of their image.

Consent in photographic work is a process, not a one-off event, and may require renegotiation over time depending on the nature and timescale of the project and the use and dissemination of any images. It is an issue to which the photographer should return periodically both during the course of the project and after its completion. Photographers should where appropriate identify the possible need for renegotiation of consent, particularly where the project takes place over a lengthy timescale, where the nature or outcome of the work changes or where the images obtained are to be used in a way not covered by the original consent. 2American Psychological Association's "Ethical Principles of Psychologist and Code of Conduct" ([www.apa.org/ethics/](http://www.apa.org/ethics/)).

Using existing images including from your own archive

- **With previous consent from the subject.** If re using older images in paper format, consent is strongly recommended if the images are placed into different formats such as on the web.
- **Without previous consent from the subject.** If using images where no previous consent was received (e.g. before the DPA 1998) extreme caution should apply. A balanced decision should be made considering the following;
  - For what purpose was the original image taken
  - Where was the image taken e.g. in a public space.
  - When was it taken (picture of a child who is now an adult)

Well organised image management applies and it is suggested that consent forms and images are filed together. When consent has expired the image should not be retained.

#### **Rules for images on the web (published image)**

Again obtaining consent is expected. If the image is for a specific purpose e.g. a prize winner, the full name would be applicable (not contact details). If the image is non-specific e.g. a model used for a promotion this would not be acceptable

University of the Arts London conclusion and practical tests

Practical steps to comply with this guidance;

- Obtain consent
- Obtain image fairly
- Store securely
- Dispose of carefully
- Address any copyright issues.

This advice is fact sensitive. The principles will apply more strongly if the photography is of a sensitive nature and the weight of justification will vary according to the intimacy, privacy or sensitivity of the subject matter. Photographing a person doing acts of a sensitive nature without their consent is a breach of the Data Protection Act and / or the right to privacy. Photographing a person doing non-sensitive acts in public without their consent could, in certain circumstances be unlawful, unless good reasons were shown for the photography.

Whether a person's rights in respect of their image has been abused, will depend on such matters as;

- Was the publication of the image in the public interest, which depends very much on the context and the particular facts?
- Does a person appear in an incidental manner in a photograph of a public place i.e. what is the 'true subject' of the photograph?
- How diligent the photographer has been in acknowledging and respecting the subject's rights?

In some cases you may wish to seek further guidance from the Dean, the Intellectual Property Manager, the University Secretary's Office.

### **Key references**

Further official information can be obtained from these key references

[www.safety.ngfl.gov.uk/schools](http://www.safety.ngfl.gov.uk/schools)

Department for Education and Skills on photographing children generally

[www.ico.gov.uk](http://www.ico.gov.uk)

Information & Data Protection Commissioner taking photographs in schools.

[www.bbc.co.uk](http://www.bbc.co.uk)

BBC Producers Guidelines on Surreptitious Recording.

[www.arts.ac.uk](http://www.arts.ac.uk)

Guidance Notes on Research and Data Protection. Ref. IS/SSR/Under 18s/General

# Annex 2 Research degree registration transfer procedures

## 1. Scope of Procedures

These procedures apply to candidates who wish to:

- a) transfer their research degree registration to the University of the Arts London from another institution, or
- b) register with the University of the Arts London to complete their research degree after withdrawing from registration at another institution, or
- c) register with the University of the Arts London to complete their research degree after their registration at another institution has lapsed.

## 2. Applicant information requirements

All candidates wishing to apply for admission to read for a research degree at the University of the Arts London should be required to state whether they are, or have previously been, registered for and not completed research degree study at another institution. Transferring candidates will be expected to register with the University of the Arts London for a period of no less than one year. Candidates who have been registered for at another institution and who have not completed their research degree should be required to provide the following information:

- a) A letter from the administrative authority at the current or previous institution which provides detailed information about the candidate's research degree registration at that institution and where applicable confirms that the proposed transfer is acceptable to and supported by their institution. The details about the candidate's research degree registration must include:
  - i) the institution at which s/he is or was registered for research degree study
  - ii) the date on which s/he was registered as a research degree student at that institution
  - iii) the date of his/her confirmation (upgrade to PhD or MPhil) if passed.
  - iv) whether s/he is or was registered for full-time or part-time study
  - v) the degree for which s/he is or was registered, i.e. MPhil or PhD
  - vi) the name(s) and contact details of her/his supervisor(s) at that institution
  - vii) the title of her/his research project
  - viii) the total length of her/his registration, with the dates and reasons for any periods of suspended study

- b) A letter from the potential transfer student stating the details of why s/he wishes to transfer her/his registration to the University of the Arts London from that institution or why s/he did not.
- c) A completed application form for transfer

### **3. Admission Recommendation Requirements**

The admission recommendation for candidates who wish to:

- a) transfer their research degree registration to the University of the Arts London from another institution, or
- b) register with the University of the Arts London to complete their research degree after withdrawing from registration at another institution, or
- c) register with the University of the Arts London to complete their research degree after their registration at another institution has lapsed, must be supported by the relevant College, and must include:
  - i) an academic reference from the candidate's supervisor or, if more appropriate, where s/he is or was registered for research degree study.
  - ii) a detailed case which explains the basis on which the candidate has satisfied the potential supervisor(s) and College Associate Dean of Research that s/he is in a position to successfully complete a research degree of the University of the Arts London.
  - iii) a letter from the administrative authority at the current or previous institution which provides detailed information about the candidate's research degree registration at that institution and where applicable confirms that the proposed transfer is acceptable to and supported by their institution.

### **4. Terms and conditions of registration**

Once the admission recommendation has been approved by or on behalf of the Research Degrees Sub-Committee, the candidate will be offered, and asked to accept, research degree registration on the understanding that s/he will normally be subject to a probationary period of six months for full-time students and twelve months for part-time students. At the end of this period an annual report must be submitted to the College Research Degrees Sub-Committee, following the same monitoring processes as other students, which should include:

- i) an assessment of the student's progress since registration with the University of the Arts London;
- ii) details of the formal training undertaken, including performance in any related assessment;

- iii) details of the supervision arrangements, including frequency, approximate duration of sessions and date of most recent contact;
- iv) details of any academic contributions made by the student to publications, seminars, conferences;
- v) details of the progress review undertaken by College for the annual report;
- vi) details of any concerns about the student's performance and ability to successfully complete;
- vii) a recommendation about continuing registration and the degree for which the student's registration should be confirmed;
- viii) internal supervisor(s) signature and date;
- ix) the endorsement of the College Associate Dean of Research



# Annex 3 Code of practice for supervisors and research students

## Responsibilities of supervisors

1. Supervisors are responsible for the academic progress, pastoral or personal support of their students, and for liaising with Associate Deans of Research and RMA Student section on administrative matters. They should provide the necessary guidance and support to enable their student(s) to successfully complete the research project within the required timescale.

Supervisory teams will consist of a Director of Studies and one or more Second Supervisors. Supervisors should normally supervise no more than 6 FTE (Full Time Equivalent) students and staff should only act as Director of Studies for a normal maximum of 6 headcount of the 6 FTE.

## Responsibilities of Directors of Studies

(first supervisors)

2. Establishing, in the initial supervisory meeting and in agreement with the other members of the supervisory team:
  - a framework for supervision, including arrangements for regular supervisory meetings and meetings with second supervisors;
  - the roles and responsibilities of each member of the supervisory team;
  - the stages which the student will be expected to have completed at various points in the research (i.e. registration, confirmation);
  - the developmental (PDP & Training) needs of the students in relation to the agreed programme of research and the Joint Research Councils' Skills Statement.
3. Meeting regularly with the student at the intervals agreed at the start of the research programme. The normal expectation for full-time students is that at least three formal (i.e. recorded) supervisions must take place each term. During key monitoring stages of the research such as registration and confirmation more regular contact is to be expected.
4. Giving assistance in defining the topic of research. It is important that the student and supervisors agree this at an early stage.
5. Ensuring that the project:
  - a) falls within the supervisory teams areas of expertise;
  - b) can be completed with the resources available;
  - c) can be completed within the prescribed period of study (normally: full-time PhD 3 years, MPhil 2 years; part-time PhD 5 years, MPhil 3 years);

- d) can be completed within the period provided for by any funding awarded to the student;
- e) complies with the Code of Practice on Research Ethics;
- f) is suitable for the degree (MPhil/ PhD) which the student aims to undertake.
6. Ensuring that the student is aware of College, University or discipline-specific research training programmes and that s/he is required to attend and/or that (s)he meets training needs identified during the course of supervision.
  7. Ensuring with the student that documentation relating to the various stages of research is completed properly and submitted on time to the relevant parties.
  8. Ensuring that any discipline/ health & safety policies are brought to the attention of the student and explained.
  9. Discussing any hazards involved in the research work and how these can be dealt with, and ensuring that safety procedures are followed.
  10. Ensuring adequate cover is arranged if one of the supervisors is going to be absent for a period of time.
  11. Responding promptly and constructively to written or practical work completed, within the timescale agreed at the start of the project.
  12. When a student has an urgent need for advice or guidance, the supervisor should be able to provide it within a reasonable timescale that does not delay the student's progress.
  13. Adhering to the monitoring and progress reporting timetable agreed at the start of the project. This will include the registration process, annual progress reports including the annual report for confirmation and the completion of supervision record sheets as appropriate.
  14. Drawing the student's attention to the examination regulations for the presentation and examination of theses (including any practical work) and agreeing a timetable for completion at least a year before submission.
  15. Ensuring in relation to the examination, that:
    - the thesis title is approved;
    - the internal and external examiners are nominated in good time so that the examination can go ahead as soon as possible after submission of the thesis;
    - that a date is arranged for the oral examination that is convenient to the examiners and the student.
  16. If the thesis requires corrections or re-examination the supervisor will normally continue supervision unless there are difficulties between supervisor and student.

17. Making available to students details of appeals regulations and the appeal procedures for research degree candidates.

In addition, students may reasonably expect all their supervisors to:

18. Treat them professionally.
19. Give early advice about the nature of research and the standard expected in order to achieve the degree for which the student is aiming.
20. Arrange a supervision meeting as soon as possible after enrolment. This would normally be within the first week for full-time students. For part-time students, this may take longer to arrange.
21. Ensure that the first meeting covers the areas set out in 2. above. If this is not possible, these areas should be covered in another way.
22. Provide advice on literature sources and other research resources available and provide some directed reading to facilitate discussion and form the basis of a contextual review.
23. Deal promptly and appropriately with any research problems.
24. Take an active role in introducing the student to meetings of learned societies, seminars, etc, and to other researchers or experts in the field or relevant artists and designers.
25. Where the student's own creative work forms part of the research, and when adequate notice is given, every effort should be made by the supervisor to attend exhibitions, performances etc, or visit studios as appropriate.
26. Provide advice on the publication and/or exhibition of research work and on the public presentations about the research.
27. Put the student in touch with specialists inside or outside the University where the student's work goes outside the supervisor's expertise. If appropriate, the supervisor should recommend the appointment of such specialists as internal or external supervisors or advisors.
28. Provide both encouragement and positive advice as well as criticism and negative comment as appropriate.

## **Responsibilities of students**

Students are expected to:

29. Work conscientiously and independently within the parameters of the guidance offered. Students should be self-directed, but should keep their supervisors informed and up to date with research work being undertaken.
30. Participate fully in College, University and discipline-specific research training programmes as appropriate.

31. Present visual and/or written material in sufficient time for comment and discussion and turn up to supervisory meetings well prepared and with a clear agenda based on previously agreed actions and emerging issues.
32. Take note of the advice from their supervisors.
33. By the end of the probationary period (post registration and pre-confirmation) students should have:
  - a fully defined the area of research;
  - become acquainted with the background knowledge required;
  - completed the visual research and/or literature review;
  - a clearly defined methodology
  - a provisional framework for the future progress of the research with;
  - a timetable for the remainder of the registered period of study.
34. Maintain progress in accordance with the timetable agreed with the supervisors at the outset and the University monitoring requirements.
35. Keep as systematic a record as possible of all experimental work that has been attempted and accomplished in the laboratory or studio or other workspace.
36. Ensure that the standard of their English is sufficient for the presentation of a thesis. Students whose first language is not English should seek advice and be responsible for utilising the help of the University's Language Centre.
37. Comply with the Codes of Conduct set out on the intranet.

In addition, supervisors may reasonably expect students to:

38. Have produced a substantial amount of visual and/or written work, even if only in draft form, by the end of the first year. The meaning of 'substantial' should be agreed by the supervisors and the student at the outset.
39. Inform their supervisors of other people with whom they discuss their work.
40. Discuss with their supervisors the form of guidance and type of comment that the student finds most helpful.
41. Take the initiative in raising problems or difficulties, however elementary or trivial they may seem. It is the student's as well as the supervisors' responsibility to initiate contact and raise issues.
42. Recognise that their supervisors may have many competing demands on their time. The student should hand in work in good time and give adequate notice of unscheduled meetings. The need for adequate notice also applies to requests for references from the supervisors.

43. Note that, while a student would be unwise to submit the thesis against the advice of their supervisors, it is within their rights so to do.
44. Remember that it is the student's responsibility to submit the thesis to the Research Support Office before the expiry of the registration period.
45. Be aware of the regulations for the presentation and examination of theses together with the appeals regulations and procedures.

## Annex 4 Format and binding of thesis

1. The student shall ensure that the thesis format is in accordance with the following requirements:
  - i) theses shall normally be in A4 format although the Research Degrees Sub-Committee may give permission for a thesis to be submitted in another format;
  - ii) copies of the thesis shall be presented in a permanent and legible form either in typescript or print;
  - iii) the thesis may be printed on one or both sides of the page; the paper shall be white and within the range 70 g/m<sup>2</sup> to 100 g/m<sup>2</sup>;
  - iv) the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
  - v) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
  - vi) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
  - vii) the title page shall give the following information:
    - a) the full title of the thesis;
    - b) the full name of the author;
    - c) that the degree is awarded by the University of the Arts London;
    - d) the award for which the thesis is submitted;
    - e) the Collaborating Establishment(s), if any; and
    - f) the month and year of submission.
  - viii) citations must be consistent and adopt a recognised standard system, for example, Harvard (with or without footnotes), Numeric, or Running Notes.

If a student wishes to have fuller guidance, reference may be made to the now withdrawn British Standards Institution specification BS 4821. Where the University's regulations differ from BS 4821 in points of detail, a student may follow either.
2. The student may submit the thesis for examination either in a permanent binding or in a temporary bound form. A thesis submitted in temporary binding shall be in its final form in all respects save the binding. The thesis shall be presented in a permanent binding before the degree can be awarded. If the thesis is submitted in a temporary bound form, the student's Director of Studies shall confirm that the contents of the permanently bound thesis are identical with the version submitted for

examination, except where amendments have been made to meet the requirements of the examiners.

3. The permanent binding shall be as follows:
  - i) the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards must have sufficient rigidity to support the weight of the work when standing upright; and
  - ii) in at least 24pt type the outside front board shall bear the title of the work, the name and initials of the student, the degree, and the year of submission; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards.
  - iii) the binding shall contain as an integral part of the contents all archival records of creative work.
4. The student shall additionally submit a digital copy of the thesis in the portable document format (pdf) that must be identical to the bound copy submitted for examination. A pdf copy of the 'final' version of the thesis (a digital version of the permanent binding of the thesis) shall be submitted before the degree can be awarded.

# Annex 5 Procedures for the oral examination

## 1. Arrangements for the oral examination

One week after receiving the thesis, the internal examiner should arrange with the external examiner(s) and the student (and any supervisors attending) a mutually convenient time and place:

- The date should be within three months of the examiners' receipt of the thesis.
- The time is usually in the afternoon, particularly if external examiners have far to travel.
- The place should normally be on the premises of the University of the Arts London, but it may be at the external examiner's place of work or elsewhere within the UK.

## 2. Before the oral examination

The examiners should meet before the oral examination to agree on the structure of the questioning and the role of the observer/s. The examiners then normally meet with the observer/s to advise him/her of the result of their discussions.

## 3. Conduct of the oral examination

The oral should cover all aspects of the thesis, in particular the points selected by the examiners at their preliminary meeting. The student should be given an opportunity to comment on any adverse points and on any amendments of substance that examiners are intending to recommend. Examiners may sometimes want to indicate their initial opinion of the thesis at the beginning of the oral examination, so that the student has the opportunity to challenge it. The examiners should satisfy themselves that the thesis is the student's own original work.

## 4. The oral may include:

The inspection of practical work, demonstration of software, viewing original data, or any other reasonable request from the examiners. The examiners should make such requests in advance to the student. Equally, the student may offer some form of practical introduction; again, such an offer should be made in advance. The student may bring an annotated copy of the thesis and any other source materials to the oral. The duration of the oral will vary according to the nature of the thesis, the size of the panel and so on.



## **5. After the examination**

It is up to the panel whether it tells the student its recommendation, either at the end of the oral or by calling the student back after the examiners have adjourned for a brief discussion. Normally, students should be told on the same day, or at least on the next day by the Director of Studies.

# Annex 6 Disciplinary Code for Students

## Preamble

This code is made under Article 12.2 of the Articles of Government, approved by Academic Board on 22 June 2006. Subject to refinements, with advice from The Plain English Society.

This Disciplinary Code observes the Common Law rules of Natural Justice in accordance with the Articles of the Human Right Act 1996. However, the detailed procedural requirements of the act for civil and criminal proceedings, do not apply to the application of this code.

The code applies to all students in respect of University activities (but not in their dealings with its subsidiary companies such as London Artscom Ltd).

Adjustments to the process may be made to accommodate students defined as having disabilities under Disability Discrimination and allied legislation.

## 1. Introduction

1.1 In each School the Dean shall ensure that:

- Each student receives a copy of this Code on his/her initial enrolment and;
- Each student shall be reminded of the Code as well as the University's further policies on Equal Opportunities and Health and Safety through their induction to their course.

1.2 The following terms in this document have the meanings indicated below:

*"A Dean"* refers to the member of staff responsible to the Head of College for the circulation and operation of the Code to students within each constituent College of the University of the Arts, and to any member of staff formally acting for the Dean in disciplinary matters.

*"A Dean"* also refers to members of staff who have cross-University roles and designated Dean status.

*"Senior Manager"* refers to a Dean, Director or Head of Department or equivalent. *"Staff at the level of Dean"* refers to staff with managerial responsibility, directly reporting to a member of the University Management Team.

*"A friend"* includes a fellow student in University of the Arts London, a representative from University of the Arts London Students' Union or a relative.

*"Duty Manager"* refers to the most senior manager responsible on site, including managers responsible for student residences.

*“Conduct”* refers to the day to day activities of fellow students and or University staff in teaching, learning research, social or residential environments managed by, or on behalf of the University, and to alleged gross misconduct off-site (see section 3).

*“The Code”* refers to this document as a whole.

## 2. Conduct

### Overview

2.1 It shall be a breach of the code if a student

- (i) engages in any conduct which prevents, obstructs or disrupts:
  - teaching, learning or research within the University;
  - the administration of the University;
  - any member of staff from discharging his/her duties;
  - the occurrence or conduct of any lawful meeting within the University or organised by it.
- (ii) obstructs or attempts to obstruct access of staff, students or members of the public entering as normally permitted any building or premises within the University’s control.
- (iii) commits any breach of regulations including policy relating to Health and Safety, Equal Opportunities and the use of facilities and resources.

### Offences against the person

- (iv) assaults, sexually harasses, or otherwise intimidates any fellow student, member of the University’s staff or person visiting the University or engages in racist behaviour in contravention of the University’s Diversity policy.

### Offences against property

- (v) misappropriates, deliberately misuses, maliciously damages, retains (without authorisation) any equipment, learning materials, furniture or fittings belonging to, or under the control of the University or the Students’ Union or being the personal property of any student or member of staff.
- (vi) misappropriates any funds or assets of the University or the Students’ Union.

### Trespass

- (vii) enters or remains in an area from which excluded, or takes part in any trespass or unauthorised occupation of any buildings or premises owned or used by the University.

Occupation will be deemed to be unauthorised if it is carried on after reasonable notice to desist has been given or if the student

has occupied a building or premises or part thereof where access by students is normally prohibited.

#### Anti-social behaviour

- (viii) behaves in a disruptive or violent manner in learning and teaching environments and/or residential accommodation managed by the University.
- (ix) engages in alcohol or drug misuse and/or the illegal supply of Class A or Class B drugs within the learning and teaching environment or residential accommodation owned or managed by the University.

#### Plagiarism

- (x) commits, or is implicated in cheating or plagiarism in relation to an examination or assessment; or attempts to achieve any form of unfair advantage using others' work including creative artefacts, whether completed or in progress.

Such offences shall be investigated and any sanction determined according to this Code. In addition, it will be for the Board of examiners or examining body, as appropriate, or if such arrangements do not apply, the Academic Board to decide upon the standing of the candidate's result or award if already made. Additionally see Academic Affairs Handbook.

#### The use of files

- (xi) invades, abuses or attempts to abuse the security, integrity or and documents privacy of any files or confidential material, whether or not subject to protection under the Data Protection Act, including computerised systems of the University or the Students' Union.

#### Criminal offence

- (xii) commits any criminal offence (including the infringement of copyright) or conducts himself/herself on the premises of the University in a manner that would amount to a criminal offence were it committed in a public place.

#### Miscellaneous

- (xiii) otherwise commits a breach of any Regulation, Rule or Code of Practice, for instance Ethics, authorised by the Court or the Academic Board.

2.2 The offences specified in 2.1 are not intended as a definitive list. Where there is doubt, the University Secretary shall decide the procedure to be followed in a particular situation, having regard to the standards of conduct implied in 2.1 generally.

### **3. Gross Misconduct**

Any offence (including allegations of criminal behaviour as further detailed in section 4.4 below) in which the offender commits physical violence, malicious

abuse, theft, fraud or other fundamental breach of trust or negligently endangers staff or students or visitors must be regarded as gross misconduct and may therefore lead to immediate suspension pending a disciplinary hearing and possible expulsion.

Nothing in this code shall prevent a student from being suspended immediately on grounds of gross misconduct.

#### **4. Action on misconduct**

##### Immediate Action – incidents on premises under University control

4.1 Any member of staff may with good cause require a student to leave a specific room or area should a situation develop which can not after reasonable endeavours, be otherwise resolved. However, members of staff do not have the authority to bar students from University facilities and resources beyond the immediate resolution of a difficult situation.

Following a requirement to leave, the matter can only be extended into a formal continuing suspension of the student through the procedure detailed within this Disciplinary Code.

4.2 Any refusal to leave or similar escalation of the situation should be referred immediately to a member of staff at the level of Dean, or if the latter is not available, the Duty Manager for the site. The police will be called if the senior staff member present deems this appropriate.

4.3 The request to leave with summary detail of the incident leading to it, together with any refusal to leave shall be reported to the student's Dean as soon as reasonably practicable normally using the 'Student Incident Report Form' available from Student Services website or HR or USO. The Dean will then revert to the sections of this code.

##### Immediate Action – Alleged Criminal Behaviour and Police Involvement

4.4 Allegations of criminal behaviour (on or off-site) may come to staff's attention in three ways:

- (i) Allegations by another member of the school / college / university community (e.g student, staff or visitor).
- (ii) Allegation by an external party (e.g neighbour, member of public).
- (iii) Report/enquiry from the Police

In all cases, the office of the Dean or equivalent should be informed; and advice from the University Secretary and / or Dean of Students may be sought on the questions of liaison with police and informal progress respectively.

4.5 In cases (a) and (b), if the allegation is potentially gross misconduct, the matter should be directed to the police. That is, the person making the allegation should be advised to contact the police. Staff should consider the merits or otherwise of assisting in this, according to circumstances.

- 4.6 Once the police are involved with the alleged incident, their advice should be sought as to what further action the School / College / University might take. The relevant member of Executive Board – Head of College or Deputy Rector as well as the University Secretary and Dean of Students should be informed, if not already aware. Apart from suspension, it is likely that the police will require that no further investigation is undertaken, as this might damage the proper proceedings for a charge.
- 4.7 If the matter is not referred to the police or the police refer the matter back for our internal action only, it should be dealt with promptly utilising the procedures indicated in this section or section 5 below, but with an awareness of the particular problems around cases of an interpersonal nature (e.g student allegations about fellow students). In such instances, a counter allegation is often offered / made as a defence. Hence, suspension (if the police are not involved) should be used very sparingly, as a suspension of only one party leaves the School / College / University in a very vulnerable position.

## **5. Initial and Extended suspension**

- 5.1 Staff in the following posts have the Rector's authority to suspend students: Pro Rectors, Heads of College, Deans, Senior Managers, Duty Managers. Initially, suspension may be imposed for up to three complete working days. A suspension imposed by a Dean or Duty Manager must be notified immediately to the Head of College where the student is registered. No further action of a disciplinary nature shall then be taken in relation to a residential issue without consulting the Head of College concerned.
- 5.2 Within three working days of their suspension, students must be sent to their registered (QL) address written confirmation (by post or email), explaining why they have been suspended and for how long. Extensions to suspension should also be communicated clearly and promptly, once the decision to extend suspension has been made.
- 5.3 Where the University have become notified that the police have become involved, proceedings may be deferred until we receive Police guidance concerning further legal action.
- In such cases, an explanatory meeting will be held within 72 hours to keep relevant parties informed. If the student is already suspended by the University this may be extended and the student will be notified accordingly.
- 5.4 After the initial suspension, a further period may be imposed if more time is needed to complete an investigation or if exclusion is necessary until a disciplinary hearing is held. At the beginning of the extended period of suspension the student should receive in writing a statement of the allegation(s) being investigated and confirmation of the reason

for suspension. In all cases, unless the Rector determines otherwise, suspension shall debar the student from all university sites, premises and activities (except with express consent). However reasonable opportunity to respond to an allegation would normally be permitted and it is also recognised that special considerations could arise in relation to a student's access to his place of residence.

- 5.5 A student who has been under continuous suspension for two weeks or more may appeal to the Rector for the matter to be expedited unless a disciplinary hearing has been held or the date for a hearing set.

## **6. Informal and formal proceedings regarding infringements of the Code**

- 6.1 All infringements of the Code shall be investigated to establish the facts. Any student against whom an allegation has been made has the right to be accompanied by a "friend" at an investigative interview or disciplinary hearing.
- 6.2 Prompt and informal resolution should always be sought for minor infringements. Deans or Duty Managers will seek early resolution without further reference to this procedure. In other circumstances, following investigation the procedure should move to a formal disciplinary hearing if necessary.
- 6.3 Informal resolution may be undertaken in conjunction with the (Dean of Students) who will act in an advisory and consultative manner (see Appendix 1 and Appendix 2 (flow chart)).

An informal resolution will seek to rectify a problem that has arisen, but will not be designed to punish the student. Suitable informal resolution includes:

- (i) Successful mediation between students, or students and staff.
- (ii) Righting a wrong by paying for damage (but no fine).
- (iii) Apologising to those affected by inappropriate behaviour.
- (iv) Agreement to certain standards of behaviour in the future.

## **7. Mental illness**

- 7.1 If it appears to those considering an allegation of misconduct (as described in sections 2 and 3 above) that the student in question is suffering from mental illness or mental instability, the proceedings may be adjourned for the preparation of a medical report following advice from the University's Head of Counselling, Health and Disability.
- 7.2 If there is medical evidence that the student is suffering from mental illness or mental instability, those dealing with the case may suspend or terminate the proceedings, if it is felt appropriate to do so. It may be made a condition of the deferment or termination of the proceedings,

or the lifting of the suspension itself, that the student seek medical treatment.

## **8. Formal resolution**

A student shall be informed in writing of the allegations against him/her 10 working days in advance of any disciplinary hearing. Documentation relating to the hearing will be provided to the student no later than 2 working days before the meeting. Disciplinary hearings will usually occur no more than 15 working days after the Dean's or Senior Manager's investigation has been concluded. In cases involving health assessments this period may necessarily be longer.

## **9. Disciplinary Hearing Panel**

- 9.1 The Disciplinary Hearing Panel should consist of one Head of College, or Dean (not from student's College), one senior member of central services staff (who shall be Chair), the Student Union President, and the University Secretary's nominated representative as clerk, none of whom should have been directly involved in interim action taken to investigate up to that date.
- 9.2 The panel will receive a report from the Dean of the student's school on their investigation. The Chair will be empowered to request additional documentation and/or evidence.
- 9.3 Any documentation (including a tariff of sanctions) and evidence presented to the panel should be made available to the student at the earliest opportunity and no later than 2 working days ahead of the meeting.
- 9.4 Disciplinary hearings will normally be chaired by a Senior University manager. However, when gross misconduct has been alleged, or previous warnings have not produced a satisfactory response, or persistent infringements of the Code have occurred, the hearing will be conducted by a UMT member nominated by the Rector. The conduct of all disciplinary hearings should follow the standard university procedure.

## **10. Conducting Disciplinary Hearings**

A record shall be kept of a disciplinary hearing, including the report of the investigation and of the action taken in consequence of the hearing. If misconduct is established, the hearing record and the detail of action taken shall be held for the duration of the student's registration at University of the Arts London. In all cases:

- (i) The student must know the case against him/her and the likely sanctions should the infringement be proven.
- (ii) Relevant evidence and documents must be disclosed 2 working days in advance of the hearing.



- (iii) Students will be permitted to make representations and question the evidence in a manner determined by the Chair of the panel who shall be the final arbiter of the procedure to be followed at the hearing.
- (iv) There is no absolute right for a student to require a witness to attend a hearing. The Chair has the discretion to allow witnesses' written statement as evidence, or to arrange for the panel to interview them separately (in camera) if he / she believes it to be in the interest of natural justice to do so. However, the more serious the allegation and the more contentious the statement the greater the presumption should be towards witness attendance.
- (v) A student or staff member, or their representatives will be allowed to challenge evidence through questions for witnesses, which should formally be directed through the Chair of the Panel. Confrontational or aggressive cross-examination will not be permitted and any restrictions shall be at the sole discretion of the Chair.

### **11. Disciplinary Hearing (and Appeal) Panel Decisions**

- (i) In reaching a conclusion in disciplinary matters, the Chair should be satisfied that the student has done what has been alleged.
  - (ii) The 'test of proof' should be considered by the panel to be on a sliding scale depending on the seriousness of the allegation, with a heightened probability required, the more serious the allegation.
  - (iii) The panel Chair will have a casting vote.
- 11.1 If as a result of a disciplinary hearing the student is found to be blameworthy and further action necessary one or more of the sanctions below may be applied:
- (i) an apology may be required from the student to the member of staff or other student(s) involved in the original incident;
  - (ii) an oral warning to be recorded on the student's file for a specified period;
  - (iii) a reprimand to be written on the student's file;
  - (iv) a written warning and/or requirement to give a written undertaking as to future conduct;
  - (v) payment to be made for any loss or damage caused either fully or in part;
  - (vi) withdrawal of registration for a period of up to 12 months;
  - (vii) recommend expulsion.

Except in the case of withdrawal of registration or ongoing suspension, exclusion from facilities for any significant period is not an acceptable sanction. Indeed in all cases it should be made clear at the end of a hearing when the student can and should return to college, either to

collect belongings or to return to study which should be at the earliest reasonable time.

- 11.2 If the Chair of a disciplinary hearing recommends the student's expulsion to the Rector, the student will be suspended until the Rector has come to a decision. The Rector shall receive the recommendation within 3 working days of the hearing, and promptly consider all relevant factors so that a decision is made and notified in writing to the student within no more than 15 working days.
- 11.3 The expulsion of the student shall be reported to the Chairman of the Governors immediately.

## **12. Appeals**

- 12.1 Once a student has been notified of the disciplinary panel decision he/she has 5 days to lodge an appeal. This should be done by notifying the University Secretary. A disciplinary decision cannot be appealed against more than once. The decision on the appeal shall be final. For Appeals short of expulsion, the Appeal Panel should consist of a Pro Rector (Chair), nominated by the Rector, one Academic Dean and the University Secretary. The panel will receive all documentation supplied at the initial hearing, a statement from the chair of the panel stating the reason for their decision and representation from the student explaining why they feel the decision should be changed.
- 12.2 An appeal against expulsion may be heard by the Disciplinary Committee of the Court. In this case, the notice of the appeal must be lodged with the University Secretary.
- 12.3 Unless new evidence is presented in advance, appeals will be heard on the basis of a review of the original decision or sanction imposed. The appeal hearing should take place no later than 10 working days after the appeal has been lodged. If there is new evidence it should be submitted to the University's Secretary's Office at least 5 working days before the appeal hearing.

## **13. Interpretation and enquiries**

- 13.1 The University Secretary shall be responsible for the interpretation of this Code and any formal procedural enquiries regarding its application should be referred to the University Secretary's Office.

## Annex 7 Definition of plagiarism

Plagiarism is defined as stealing another person's ideas and using them as though they were your own. These ideas may be expressed as writing, computer software or as artefacts e.g. original artwork, designs, film or CD ROM design. It is also plagiarism if you do not acknowledge the co-operation of another individual who works with you or gives you permission to use their work. Plagiarism can be avoided by careful and systematic referencing of all material, text or non-text. Your supervisor will help with guidance on the correct way to acknowledge work belonging to other people. It is useful to carefully note sources as you go along to ensure that acknowledgements are not overlooked. The University's guidance and procedures related to plagiarism are available at: [www.arts.ac.uk/about/departments/aa/regulations/](http://www.arts.ac.uk/about/departments/aa/regulations/)

# Section C: Supplementary information

## C1 Organisational Structure and contacts

Responsibility for research at The University of the Arts London falls within the remit of Professor Elizabeth Rouse, Deputy Rector, Academic. Heads of College and the Associate Deans of Research are responsible for the academic leadership of research in Colleges. The Director of Doctoral Programmes has overall responsibility for research degrees, including Charing Research Degrees Sub-Committee and the RNUAL programme. Research Management and Administration is headed by the Director of Research Management and Administration and, amongst other things, provides administrative support for all matters relating to research degrees, including the enrolment of students, the running of the RNUAL programme and the support of the University's research subject groups, committees and management groups.

### Contacts

#### Deputy Rector, Academic

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#### Research Management and Administration

The University of the Arts London, 272 High Holborn, London, WC1V 7EY, UK  
From January 2012:  
5th floor, Granary Building, 1 Granary Square, London, N1C 4AA

## **Director of Doctoral Programmes**

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## **Director of Research Management and Administration**

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### **RMA Student section:**

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Research Finance Administrator: Vacancy

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### **RMA Funding section:**

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## **RMA Networks section:**

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Research Centre Administrator (CRiSAP): vacancy

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## **University Health & Safety Office**

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## **Local Health and Safety Advisors:**

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Abigail Dickinson

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## **LCC**

Karen Godfrey

Sites: Elephant and Castle

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## **University Enterprise Office**

University of the Arts London,  
5th floor Granary Building,  
1 Granary Square,  
London, N1C 4AA.

## **Who Do I Contact for...?**

Your main route for enquiries should be by email to [researchdegrees@arts.ac.uk](mailto:researchdegrees@arts.ac.uk). This email address is monitored by the RMA Student staff, who will reply to your enquiry.

## **Enrolment**

Any queries relating to enrolment or the payment of fees should be directed to the Student Section of the Research Management and Administration service.

## **Registration, Ethics and Health & Safety (RF3)**

There are three main elements to your Application to Register (RF3); the research proposal itself (and included in that is the submission of the administrative and supervisory details of your project), information about any ethical issues to do with your project (including the submission of any other additional information such as Participant Consent Forms and Information Sheets as required – please see the guidance on completing your ethics paperwork on the research website) and finally you must address the health and safety aspects of being a researcher which will require you to carry out a written risk assessment (please see the guidance on health and safety risk assessment below). All three must be completed (as applicable) with your supervisory team as part of your Application to Register prior to submission to the RMA Student Section. Your Director of Studies is the main source of advice for completion of the ethics and health and safety risk assessment aspects of

your RF3. Additional advice may be sought from your College representative on the University Research Ethics Sub-Committee, membership details can be found at: <http://intranet.arts.ac.uk/committees/ResearchEthicsSubComPapers.php> Your RF3 (including all of the above where applicable) must firstly be approved at College level before consideration at the University Research Degrees Sub-Committee. You will be informed by the RMA Student Section when your RF3 has been approved by URDS-C.

Following approval at URDS-C, if your RF3 has ethical issues which have been considered by the College Research Degrees Sub-Committee to be greater than minimal risk, then it will also need to be considered at the University Research Ethics Sub-Committee (URES-C). The RMA Student Section will forward your RF3 to URES-C if this is the case and then any queries relating to ethics from then on should then be directed to the secretary of the URES-C. Once your ethics have been approved, the URES-C will write to you directly. The RMA Student Section will also be informed and write to you with final confirmation of your Registration.

### **Monitoring (RF4)**

Your Annual Report (RF4) is considered at College level only and will not be forwarded to URDS-C unless a problem has been identified. Any queries related to your Annual Report should be directed to your Director of Studies or the RMA Student Section.

### **Confirmation (RF4a)**

As with Registration, your RF4a (Annual Report: Confirmation) must be approved at College level prior to consideration at the URDS-C. Once your RF4a has been approved at College level the RMA Student Section will inform you and it will be forwarded for consideration at the next meeting of the URDS-C. The RMA Student Section will write to you following the URDS-C meeting to confirm the award for which you will be submitting.

### **Submission**

Your Director of Studies (DoS) is responsible for nominating your examination team using an RF5 form. This should be completed at least three months prior to your expected submission date. The proposed examination team must be approved by the College Associate Dean of Research before it is considered at URDS-C. The RMA Student Section is responsible for the formal appointment of the examiners and organising the viva. You should submit your thesis directly to the RMA Student Section along with a completed RF6. Any queries relating to the actual submission of your thesis, the forms required, the form of your thesis submission or your viva voce arrangements (especially if there are practical arrangements to take into account e.g. organising and setting up an exhibition) should be directed to your Director of Studies and the RMA Student Section.



## Examination

The RMA Student Section is responsible for organising the viva voce and liaising with the approved examination team. As stated above, the RMA Student Section should also be consulted with regards to your examination arrangements in plenty of time, especially if there are practical arrangements to be made. Once the viva voce has been completed, the examiners will forward their report (RF7) and examination recommendation directly to the RMA Student Section who will then forward it to the URDS-C for ratification. Once the examination report has been approved at URDS-C the RMA Student Section will write formally to you with the outcome. Any queries relating to the examination process should be directed to the RMA Student Section. You must not contact examiners directly.

## Changes to Registration

Students who would like to make a request to change mode of study, suspend or extend their registration or wish to discuss any changes to their supervisory team should contact their Director of Studies in the first instance and then the RMA Student Section for further advice. Only once a request has been approved by the supervisory team will it be forwarded for approval at URDS-C. You should be aware that if you wish to request a change to your supervisory team then you should consult your Director of Studies first, or if this would not be appropriate, then you should contact your College Associate Dean of Research or appropriate academic member of staff responsible for postgraduate research students at your College. It is not appropriate to approach members of staff yourself. If you are considering withdrawal then you should discuss this with your Director of Studies in the first instance.

## Complaints & Appeals

The Research Degrees Handbook outlines the procedure for complaints and appeals in Section A11. Appeals, Grievances and Complaints. A complaint may be made relating to matters such as; inadequate supervision, loss or undue delay in the return of work, non-availability of essential equipment or resources necessary to complete work, plagiarism of the student's research or unauthorised disclosure of confidential information to a third party. It is expected that (other than in exceptional circumstances) a complaint on the grounds of inadequate supervision would not be made on the basis of an isolated incident and that there would be evidence of a continuing problem before the complaint was pursued. Appeals may be made against the outcome of an examination or withdrawal of registration. The grounds for appeal are clearly outlined in the Research Degrees Handbook and Regulations.

## Health & Safety Risk Assessment

The Management of Health and Safety at Work Regulations 1999 require nearly all workplace activities to be risk assessed and for the assessments to be written down and kept. Research falls into the category of work activity and most research projects should be risk assessed. Therefore a health and safety risk assessment should be completed as a separate exercise to the research ethics application, using the University Health and Safety risk assessment form and the guidance notes, to document the assessments, available from [www.arts.ac.uk/hr/health-safety/27789.htm](http://www.arts.ac.uk/hr/health-safety/27789.htm) (download 1). Only trivial risks do not need to be risk assessed. Trivial risks would include using the research space in the College, computers and desk space. Research in libraries, archives and other collections of data will also generally be considered trivial. If your project will be associated with intolerable, substantial or significant risks you may wish to consult your College the Health and Safety Advisor when completing your risk assessment. The risk assessment must be signed off by your Director of Studies (in the section titled 'manager' on the form) before any research involving more than trivial risk is undertaken. Any queries regarding Health & Safety please contact either your local College Health & Safety Officer in the first instance or the University Health and Safety Advisor for further information about risk assessment and risk assessment procedures. A copy of the signed-off risk assessment must be attached to your RF3 upon submission to the RMA Student Section, a copy should be kept by you and your Director of Studies.

## RNUAL

Any queries relating to RNUAL should be directed to the Director of Doctoral Programmes or the RMA Student Section. For all contact details, please go to page 108.

## C2. Constitutions of the Research Committees

### Research Standards and Development Committee

#### Purpose

To formulate and implement research strategy at each college and across the University and to assure the standards of the University's research projects and awards. To promote the creation of a sustainable and enterprising research culture for the benefit of staff, students, colleges and the University, including knowledge transfer and the commercial exploitation of intellectual property.

#### Terms of Reference

##### 1. Delegated authority to act in the following:

- i. To set and monitor standards for the award of research degrees.
- ii. To set and monitor standards for research ethics.
- iii. To monitor and enhance the quality of research programmes, projects and the research infrastructure within colleges and across the University, including the research student experience.
- iv. To develop and co-ordinate the implementation of the University's procedures relating to the management and monitoring of research projects, such as:
  - a. The Full Economic Cost methodology
  - b. The Research Centre designation procedures
- v. To be responsible for policy and procedures related to the admission, progression and examination of research degree students.

##### 2. Requirement to recommend on the following:

To discuss and formulate research policy and strategy in the light of the external context and the University's mission for the development of the overall research environment.

- i. To advise Academic Planning Committee and Academic Board upon the range, quantity and appropriateness of research across the University, and the disposition of resources allocated for the purposes of research against the Medium Term Strategy, including funds for the support of research degree students.
- ii. To develop mechanisms to support collaborative research both within the University of the Arts, London, including Research Centres, and with other appropriate academic, institutional and business partners.
- iii. To advise on reports received from and sent to external bodies

- iv. To influence professorial, readership and Research Centre developments for the growth of co-ordinated university research networks

### **3. Monitoring responsibilities:**

- i. To respond to HEFCE, Research Councils and other agencies as appropriate and necessary on behalf of the University.
  - ii. To monitor the use of research grant income.
  - iii. Research Degrees Sub-Committee and Research Ethics Sub-Committee.
4. To produce an annual report to Academic Board on research standards and research undertaken at the University.

*Note: This body, its sub committees and groups have a specific responsibility for equal opportunities in so far as the issue relates to its business.*

## **University Research Degrees Sub-Committee**

### **Purpose**

To act on behalf of and advise the Research Standards and Development Committee on all matters related to the registration, progress and examination of research degree students.

### **Terms of reference**

#### **1. Delegated authority to act on behalf of the Academic Board and/or Research Standards and Development Committee in relation to:**

- i) approve the registration of research degree proposals on the recommendation of College Research Degrees Sub-Committees;
- ii) maintaining an overview of students' progress ensuring that the guidelines and regulations for research degrees of the University are followed;
- iii) considering probationary reports and confirming registration of students for the specific degrees of MPhil and PhD;
- iv) ensuring that the general arrangements under which the research of each student is carried out are satisfactory, and meet the requirements of the University. These arrangements are to include supervision, the provision of research training and other resources needed to enable research students to complete their research to a satisfactory standard;
- v) exercising all other responsibilities in relation to the registration of research degree students, including the extension and suspension of registrations, and the scrutiny of annual monitoring reports;
- vi) approve the appointment of examination teams for MPhil and PhD examinations.

- vii) awarding research degrees of MPhil and PhD on the basis of the recommendation of the examination team.
- viii) ensuring that appropriate information relating to research degrees is available to students and supervisors.

## **2. Monitoring responsibilities:**

- i) to monitor the growth in the numbers of research degree students, completion rates and the effectiveness of the operation of the quality assurance procedures relating to research degree students.
- ii) to monitor the use by Colleges of funding for student support.
- iii) to monitor College's provision of resources for research degree students.
- iv) to monitor the operation of College Research Degrees Sub-Committees.
- iii) to monitor reports from the examination team.
- iv) to prompt and receive reports on student feedback.
- v) to monitor and receive reports on RNUAL research training.
- vi) to receive the minutes from the College Research Degrees Sub-Committees.

## **3. To provide an annual report to Research Standards and Development Committee**

*Note: This body has a specific responsibility for equal opportunities in so far as the issue relates to its business.*

## **College Research Degrees Sub-Committee**

### **Purpose**

To maintain an overview and advise on all matters related to research and research degrees within the college.

### **Terms of reference**

#### **1. To advise the Head of College in relation to:**

- i) the programme of work and registration of applicants prior to their consideration by the University's Research Degrees Sub-Committee;
- ii) monitoring of student progress and the effectiveness of the operation of quality assurance procedures;
- iii) approval of research ethics applications deemed to be 'minimal risk';
- iv) ensuring that the arrangements within the college under which students carry out their research meet the requirements of the University of the Arts London;

- v) the nomination of examination teams for MPhil and PhD examination;
- vi) the development of the research environment and all matters to do with the funding, standard and volume of research activity within the college.

**2. To monitor:**

- i) the recruitment, registration and completion rates of research degree students;
- ii) the use of funds to support research activity.

**3. Provision of annual report to:**

- i) College Academic Committee
- ii) Research Standards & Development Committee
- iii) Research Degrees Sub-Committee

*Note 1: This body has a specific responsibility for equal opportunities in so far as the issue relates to its business*

## University Research Ethics Sub-Committee

### Purpose

To consider and advise as appropriate on legal, moral and ethical issues relating to research. To ensure that the Code(s) of Practice on Ethics is established and regularly reviewed.

### Terms of Reference

**1. To be responsible for:**

- (i) The provision of an infrastructure which would facilitate the adherence to the principles of beneficence and non-maleficence, and thereby safeguard the interests of researchers, participants and those on whom the research might impact, directly or indirectly.
- (ii) Establishing Codes of Practice on Ethics to be promulgated within the University.
- (iii) Reviewing on a regular basis and recommending changes to the Codes of Practice on Ethics in the light of external and internal practice and developments.
- (iv) Deciding on applications for research ethics approval.

**2. To advise:**

- (i) The Research Standards and Development Committee, the Research Degrees Sub-Committee or College Research Committees, as appropriate, on legal, moral or ethical issues relating to research.

- (ii) On any matters referred by the Chair of the Research Standards and Development Committee or the Chair of Academic Board.

### **3. Monitoring responsibilities:**

- (i) The Research Ethics training provided for research degree students at the University.
- (ii) College Research Degrees Sub-Committees' and College Research Committees' operation of devolved responsibility for the approval of research considered as 'minimal risk'.

### **4. To report:**

- (i) Annually to the Research Standards and Development Committee and Academic Board.

*Note 1: Staff or students, with their supervisors, may be requested to attend the Research Ethics Sub-Committee when issues relating to their research projects or research degree proposals are being discussed.*

*Note 2: This body has a specific responsibility for equal opportunities in so far as the issue relates to its business.*

## C3: Term dates and dates of University Research Degree Sub-Committee meetings

*Note: AHRC and UAL funded students should be aware of the guidance outlined in their Studentship Regulations and be encouraged to submit within the period of funding wherever possible.*

### Term dates 2011 – 2012

**Autumn Term 2011:** Monday 26 September 2011 – Friday 9 December 2011

**Spring Term 2012:** Monday 9 January 2012 – Friday 16 March 2012

**Summer Term 2012:** Monday 16 April 2012 – Friday 22 June 2012

### RDSC Dates:

**Autumn Term:** Wednesday 7 December

**Spring Term:** Thursday 9 February 2012 and Thursday 1 March 2012

**Summer Term:** Thursday 3 May 2012 and Thursday 7 June 2012

**Therefore:** you should aim to submit your application to register to your College Research Degrees Sub-Committee (CRDS-C) in the Autumn term and University Research Degrees Sub-Committee (URDS-C) in the Spring term.



## C4. Diagrams of monitoring, progression and examination process

Diagram 1 gives an overview of the five stages of research degree study: Enrolment, Registration, Confirmation, Submission and Examination. Monitoring is part of the process and happens each year excepting your final year.

**Diagram 1: Overview**

<b>Process:</b>	<b>Approval by:</b>	<b>Form:</b>	<b>Status descriptor:</b>
<b>Enrolment</b>	College and Registrar	Application to enrol RF1	Enrolled
<b>Registration</b>	University Research Degrees Sub-Committee	Application to Register RF3	Registered
<b>Monitoring</b>	College Research Degrees Sub-committee	Annual Report RF4	
<b>Confirmation</b>	University Research Degrees Sub-Committee	Annual Report (Confirmation) RF4a	Confirmed (MPhil or PhD)
<b>Submission</b>	Student/supervisors	Student declaration RF6 and Thesis Submitted	
<b>Examination</b>	Examiners	Examination Panel Report RF7	

Diagram 2 gives a detailed description of your study by mode and year and works on the assumption that you follow a normal path from enrolment to examination. Late registration or transfer, changes in mode, periods of suspension or extension will all alter this path.

## Diagram 2: Detail

### Full-time Students

Year	Time	Event	Responsibility
1	September-October	Enrolment & RNUAL Block 1	Student
	By end of 1st term	Submit research proposal (RF3) to College Research Degrees Sub-committee	Student/ Supervisors
	February	Attend RNUAL Block 2 (RNUAL Spring Symposium)	Student
	January-March	Annual Progress Report (RF4)	Supervisors
	By end of 2nd term	Submit research proposal (RF3) to University Research Degrees Sub-committee	Student/ Supervisors
	July	Present at RNUAL Block 3	Student/ Supervisors
2	February	Present at RNUAL Spring Symposium (Confirmation only)	Student/ Supervisors
	January-March	Confirmation Meeting & Annual Progress Report (RF4a)	Student/ Supervisors
3	January-March	Annual Progress Report (RF4)	Supervisors
4*	At least 3 months before submission	Nominate Examiners	Supervisors
	By End of Maximum Registration Date (at the latest)	Submit Thesis & Declaration (RF6)	Student/ Supervisors
	Within 3 months of submission of Thesis	Examination	Student/ Supervisors

\* Earlier submission possible from Year 3

## Part time students

Year	Time	Event	Responsibility
1	September-October	Enrolment & RNUAL Block 1	Student
	By end of 1st term	Submit research proposal (RF3) to College Research Committee	Student/ Supervisors
	February	Attend RNUAL Block 2 (RNUAL Spring Symposium)	Student
	January-March	Annual Progress Report (RF4)	Supervisors
	By end of 2nd term	Submit research proposal (RF3) to University Research Degrees Sub-committee	Student/ Supervisors
	July	Present at RNUAL Block 3	Student/ Supervisors
2	February	Attend RNUAL Spring Symposium (Confirmation only)	Student
	January-March	Annual Progress Report (RF4a)	Supervisors
3	February	Present at RNUAL Spring Symposium (Confirmation only)	Student/ Supervisors
		Confirmation Meeting & Annual Progress Report (RF4a)	Student/ Supervisors
4-7†	January-March	Annual Progress Report (RF4)	Supervisors
8	At least 3 months before submission	Nominate Examiners	Supervisors
	By End of Maximum Registration Date (at the latest)	Submit Thesis & Declaration (RF6)	Student/ Supervisors
	Within 3 months of submission of Thesis	Examination	Student/ Supervisors

† Earlier submission possible from Year 5

## **C5. Forms related to research degrees**

### **University of the Arts London forms**

#### **Application and enrolment**

- RF1 Preliminary Application to enrol for a Research Degree
- RF2 CV form for supervisors and examiners

#### **Confirmation of registration**

- RF3 Application to register for a Research Degree/Ethics Approval

#### **Monitoring**

- RF4 Annual Report Form
- RF4a Annual Report Form (Confirmation)

#### **Examinations and award**

- RF5 Examination arrangements
- RF6 Student's declaration – first examination
- RF6a Student's declaration – resubmission
- RF7 Examiners recommendation form – MPhil and PhD
- RF8 Library, EThOS and UAL Research Online Authorisation and Deposit Agreement Form

#### **Supplementary**

- RF9 Change in mode of study, or Change in supervision
- RF9a Application for Writing Up status
- RF10 Request for an extension or Request for suspension
- RF11 Notification of withdrawal

All of these forms are available from Research Management and Administration or may be downloaded from the research website at [www.arts.ac.uk/research](http://www.arts.ac.uk/research)

## **C6. Guidance on the completion of the Application to Register for a Research Degree (form RF3)**

### **The programme of research**

Along with this form you must enclose on a separate sheet(s) an outline of your proposed plan of work (not more than 1000 words in length plus an indicative bibliography, which should fit on one side of A4, and a plan to completion which should also fit on one side of A4), following the guidance given below. Each sheet of the proposal should be headed with the student's name, college, version number of the proposal and the date. Where applicants are seeking eventual registration for a PhD, an indication of the anticipated development of the work to PhD level should be given. The schematic outline below is a guide to the headings it would be wise to cover in your proposal. Some, like the section on theoretical context, may be open to a very wide range of approaches and interpretations and may not, especially in a mainly theoretical based proposal, be really distinguished from the historical or contemporary context. Others, like the survey of the contemporary context, are essential to all submissions. You may, if you wish, use the headings below to define the sections of your proposal or you may use them just as a check-list for the contents of a proposal made in a different way.

### **Title**

This should express the main area of investigation, implying its questions and potential argument or standpoint. While being a working title, which will inevitably change over time, it is important that you are as specific and precise as possible. The title should be brief, and reflect the main question of the project. You should avoid unnecessary over-long or technical words, and phrases such as 'an investigation into...'

### **Subject area, aims and objectives**

Define briefly your subject and the main concerns of the investigation, including a set of aims and objectives which will guide your research. If your proposal is primarily practice based, you should also use this section to describe your vision of your practice and the way in which you work in your practice on your preoccupations and concerns. It is worth thinking hard about this section, as it will form the basis of your study for the next few years (though it will inevitably evolve as you make progress). After defining your subject, you might find it helpful to think about the main concerns of the project as questions you are asking yourself, to which you hope to find the answer. The aims and objectives are important because they, in a sense, declare the criteria for your investigation, against which the success or failure of your project can be

assessed. If you find it difficult to articulate your aims and objectives you might find it helpful to think of your aim as the most significant questions or problems you hope to tackle. Your objectives are the steps by which you will meet this aim. Your proposal should normally have one or two aims, followed by a series of around 6 objectives. The idea is that by the time you have met all your objectives, you should have achieved your aim.

## Historical context

There is no single history which suits all investigations but you should identify the various strands of history which relate to your particular research. It may be a history of ideas and concepts that have influenced the development of a particular area of art and design, the history of the medium or technology in which you work, or a particular part of the history of Art or Design.

## Contemporary context

As far as you are able, define the contemporary work that relates to your field of investigation. You must do this for the following reasons:

- to demonstrate that you are aware of the field in which you are working
- to demonstrate that your proposed research will have distinct feature which will make it potentially original
- to form the basis of links with other research work to which you will contribute or on which you will build.

## Theoretical context

There is a great choice of options in this area; none of them exclusive. An element of theoretical context is important for every kind of project, though the degree of theoretical content will vary, particularly for practise based work. You should be able to demonstrate the ways in which you evaluate your own work and that of others, and the sources you use to inform your evaluation. A theoretical context will help you avoid simply asserting a position and support you in the reflective approach that is needed for a research degree. Three different kinds of theoretical context are outlined below (but these are not exhaustive and you may prefer a different model). They are defined with a bias towards a practice based proposal. If your proposal is entirely theoretical and critical, only the first and possibly the second might apply: Critical Theory – definition of the critical concept and terms you will use in order to evaluate or critique your experimental work. Parallel Theory – definition of theoretical fields which may share concepts with your experimental work but there is no simple, direct relationship. This acknowledges that practice and theory are seen as distinct discourses. Projective or Generative Theory – theory which is used to define intention and guide the experimental work you will do.

## Methodology

Your research method and approach will need to be defined in all cases but in practice based areas of study, methodologies are less well established, so you may like to think about the following:

- try to describe the basic methods and procedures you will adopt in discovering and recording research information
- if it is a practice based proposal, how does the theory relate to the practical experimentation
- what is the theory for?
- what process of experimentation will you use?
- how will you record what you do and keep track of what you have done?

## Work plan

Make a prediction of the major stages of the work (probably not more than 5) and the minor subdivisions (if appropriate). Take care if aspects of the research will run concurrently.

## Prediction of the form of the final presentation

Think about the form of the final presentation, for example:

- will it be a bound book with a CD-ROM or Internet element?
- will it be a book with video tapes?
- will it be an exhibition, a catalogue and a written thesis?
- will it be a bound book with images?
- will this be a wholly written thesis?

Main study list and bibliography (citations must be consistent and adopt a recognised standard system, for example, Harvard (with or without footnotes) or Numeric). List the main reference works which you will use for your research. These may be films, paintings, TV programmes, curated collections or websites as well as books or journal articles.

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